

RELEVANT HITS

Dear Examiner Borlinghaus:

Attached are the search results for application 09/650,733 *METHOD AND SYSTEM FOR PROVIDING FINANCIAL FUNCTIONS..*

This document contains the relevant hits and the entire search (the relevant hits are highlighted in yellow).

If you use Microsoft Word's "FIND" function (Ctrl+F) on the ^ character (shift 6) it will take you to the relevant hits.

If you have any questions, please don't hesitate to call, or e-mail.

Sincerely,

Christian Miner, MLIS
Technical Information Specialist
EIC 3600 - Knox Bldg 4B71
ASRC Management Services
USPTO Contractor
Phone: (571) 272-3010
christian.miner@uspto.gov

COMPLETE SEARCH

~~Patent Literature Abstracts

[File 350] Derwent WPIX 1963-2008/UD=200820
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[File 347] JAPIO Dec 1976-2007/Oct(Updated 080129)
(c) 2008 JPO & JAPIO. All rights reserved.

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; d s
Set      Items      Description
S1        52121      S (CLIENT? OR INDIVIDUAL OR INVESTOR? OR
SHOPPER? OR PURCHASER? OR BUYER? OR CUSTOMER? OR CONSUMER? OR
PERSON OR MEMBER? ? OR SUBSCRIBER? ?) (3N) (TRACK??? OR
MONITOR??? OR MONITORABLE OR OBSERV??? OR WATCH??? OR LOOK??? OR
VIEW??? OR SUPERVIS??? OR TRANSPARENT)
S2         1571      S AGENT? ? OR BROKER? ? OR TRADER? ? OR
STOCKBROKER? ?
S3         9405      S DYNAMIC? OR CURRENT? OR IMMEDIAT? OR INSTANT?
OR INTERACTIV? OR LIVE OR ON(1W)FLY OR REAL()TIME OR REALTIME OR
SIMULTANEOUS? OR UP(1W)DATE OR UP(2W)MINUTE OR UPDATE?
S4          809      S (TRANSACTION? ? OR AUDIT OR LOG OR ORDER? ? OR
ACTION? ? OR EVENT)(2N)(LOG OR LOGS OR LOGGED OR TRAIL? ? OR
FILE? ? OR RECORD??? OR JOURNAL? ?) OR LOGFILE? ?
S5          389      S (HALT??? OR END??? OR TERMINAT??? OR
DISCONTINU??? OR INTERRUPT??? OR SUSPEND??? OR STOP? ? OR
STOPPING OR ABORT??? OR CANCEL???) (3N) (EXECUT??? OR PERFORM???
OR ACTION? ? OR ACTIVAT??? OR IMPLEMENT??? OR INITIALI??? OR
TRADING OR TRADE? ? OR ORDER??? OR BID OR BIDDING OR SELLING OR
ACTIVITIES OR TRANSACTION? ?)
S6         16315      S INTERNET OR INTRANET OR WAN OR LAN OR NETWORK?
? OR SERVER? ? OR ONLINE OR ON()LINE OR ELECTRONIC? OR WEB OR
WEBSITE? OR WEBPAGE? OR REMOTE?? OR DISTRIBUTED
S7           2       S AU=(PILATO, A? OR PILATO A? OR PILATO (1N) (A
OR ALEJANDRO))
S8        1493115     S IC=(G06F OR G06Q)
S9          1571      S S1 AND S2
S10         458       S S9 AND S3
S11          34       S S10 AND S4
S12           2       S S11 AND S5
S13          588       S S1 (30N) S2
S14           7       S S13 AND S5
S15          21       S S13 AND S4
S16          21       S S15 AND (S3 OR S6)
S17          19       S S16 NOT (S7 OR S14)
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| | | |
|-----|------|---|
| S18 | 19 | IDPAT (sorted in duplicate/non-duplicate order) |
| S19 | 19 | IDPAT (primary/non-duplicate records only) |
| S20 | 1 | S S7 AND S8 |
| S21 | 1571 | S S1 AND S2 |
| S22 | 69 | S S21 AND S4 |
| S23 | 4 | S S22 AND S5 |
| S24 | 1 | S S23 NOT (S12 OR S14 OR S19 OR S20) |

^ 12/5/2 (Item 2 from file: 350) [Links](#)

Fulltext available through: [Order File History](#)

Derwent WPIX

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0006743634 & & *Drawing available*

WPI Acc no: 1994-126694/199415

XRPX Acc No: N1994-099396

Financial exchange on-line automated transaction system - has buyer or seller monitoring log for identifying doubtful transaction entry for which no corresp. confirmation or interrupt message has been logged in acceptance-message storage and has confirmation update

Patent Assignee: FOREIGN EXCHANGE TRANSACTION SERVICES (FORE-N)

Inventor: COLEMAN M; HARTHEIMER R; KLEPKA C; POOLE G

Patent Family (1 patents, 1 & countries)

| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
|---------------|------|----------|--------------------|------|----------|--------|------|
| US 5305200 | A | 19940419 | US 1990608643 | A | 19901102 | 199415 | B |

Priority Applications (no., kind, date): US 1990608643 A 19901102

Patent Details

| Patent Number | Kind | Lang | Pgs | Draw | Filing Notes |
|---------------|------|------|-----|------|--------------|
| US 5305200 | A | EN | 15 | 8 | |

Alerting Abstract US A

The distributed processing on-line automated trading system uses structured messages to represent each stage in the negotiation between a market maker or quoter and a potential buyer, seller or requester. An electronic log maintained by the quoter's workstation provides a reliable and impartial mechanism for automatically verifying whether an order was actually received by the quoter, and for thereby resolving whether the quoter is committed to accept an order that was placed during the small (typically only a few seconds) window of uncertainty after an order is placed and before the requester would have been notified that the order was accepted or the quote was interrupted or a failure had occurred in the relevant communication link.

The system regularly reviews a second transaction log maintained by the requester's workstation for any 'doubtful' transactions i.e., those designated as order in process for more than a few minutes, including doubtful transactions which were not resolved when any network failure message was originally received, and those which were the result of a failure associated with the requester's workstation.

ADVANTAGE - Overcomes problem due to uncertainties caused by variable time required for order - buy or sell - message to be transmitted from the requester to the quoter, or for a cancel -quote interrupt - message to be transmitted from quoter to requester, and due to equipment failure in network, either in communication link or at workstation of traders, which prevents small fraction of order and cancel messages from reaching their intended destination within short time-frame associated with on-line transaction system.

Title Terms /Index Terms/Additional Words: FINANCIAL; EXCHANGE; ON-LINE; AUTOMATIC; TRANSACTION; SYSTEM; BUY; MONITOR; LOG; IDENTIFY; DOUBTFUL;

ENTER; NO; CORRESPOND; CONFIRM; INTERRUPT; MESSAGE; ACCEPT; STORAGE; UPDATE

Class Codes

| International Patent Classification | | | | | |
|-------------------------------------|-------------|-------|----------|--------|--------------|
| IPC | Class Level | Scope | Position | Status | Version Date |
| G06Q-0040/00 | A | I | | R | 20060101 |
| G07G-0001/12 | A | I | | R | 20060101 |
| G06Q-0040/00 | C | I | | R | 20060101 |
| G07G-0001/12 | C | I | | R | 20060101 |

US Classification, Issued: 364408, 364401, 364800, 364DIG.001, 235379, 235380

File Segment: EPI;

DWPI Class: T01

Manual Codes (EPI/S-X): T01-J05A1; T01-M02A

14/5/1 (Item 1 from file: 350) [Links](#)

Fulltext available through: [Order File History](#)

Derwent WPIX

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0017414189 & & *Drawing available*

WPI Acc no: 2008-C34632/200817

Related WPI Acc No: 2004-440426; 2004-592095; 2006-181953; 2006-181954; 2008-B60564

XRPX Acc No: N2008-187805

Central authority system for use in credit derivative trading system, has processor averaging received deltas using weighted average, and determining fixed delta level after receiving preset number of deltas from dealers

Patent Assignee: CREDITEX GROUP INC (CRED-N)

Inventor: CROWLEY C J; DAR M M; HIRANI S G

Patent Family (1 patents, 1 & countries)

| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
|----------------|------|----------|--------------------|------|----------|--------|------|
| US 20080033867 | A1 | 20080207 | US 2002316167 | A | 20021209 | 200817 | B |
| | | | US 2004957217 | A | 20041001 | | |
| | | | US 2006833848 | P | 20060728 | | |
| | | | US 2006836695 | P | 20060810 | | |
| | | | US 2007882091 | A | 20070730 | | |
| | | | US 2007837159 | A | 20070810 | | |

Priority Applications (no., kind, date): US 2002316167 A 20021209; US 2004957217 A 20041001; US 2006833848 P 20060728; US 2006836695 P 20060810; US 2007882091 A 20070730; US

2007837159 A 20070810

Patent Details

| Patent Number | Kind | Lan | Pgs | Draw | Filing Notes | |
|----------------|------|-----|-----|------|------------------------|---------------|
| US 20080033867 | A1 | EN | 37 | 20 | C-I-P of application | US 2002316167 |
| | | | | | C-I-P of application | US 2004957217 |
| | | | | | Related to Provisional | US 2006833848 |
| | | | | | Related to Provisional | US 2006836695 |
| | | | | | C-I-P of application | US 2007882091 |

Alerting Abstract US A1

NOVELTY - The system has a processor e.g. digital signal processor, receiving deltas from client systems, and averaging received deltas using a weighted average. The deltas are requested from dealers at preset times. The processor determines a fixed delta level by a central authority after receiving a preset number of deltas from the dealers. The deltas are calculated based on a mathematical model utilized to price a tranch index trade. The deltas are entered for a delta fixing through a dealer window in a terminal e.g. desktop computer.

DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:

1. a system for fixing a tranche index delta level
2. a method for fixing a tranche index delta level.

USE - Central authority system for use in a credit derivative trading system for fixing a tranche index delta level in a domestic commercial bank and a foreign commercial bank.

ADVANTAGE - The system facilitates transactions between brokers and end users without the need for large intermediary infrastructures, improves effectiveness of credit derivative markets, and allows trade clients to view information on credit derivatives e.g. bid price, in a compact and uniform manner. The system allows the trader clients to interface with the credit derivative authority in quick and efficient manner, and reduces transactional costs of the credit derivatives.

DESCRIPTION OF DRAWINGS - The drawing shows a flow chart representation of a method for transacting a credit derivative in a credit derivative trading system.

Title Terms /Index Terms/Additional Words: CENTRAL; AUTHORISE; SYSTEM; CREDIT; DERIVATIVE; TRADE; PROCESSOR; AVERAGE; RECEIVE; WEIGHT; DETERMINE; FIX; DELTA; LEVEL; AFTER; PRESET; NUMBER; DEAL

Class Codes

International Patent Classification

| IPC | Class Level | Scope | Position | Status | Version Date |
|--------------|-------------|-------|----------|--------|--------------|
| G06Q-0040/00 | A | I | F | B | 20060101 |
| G06Q-0040/00 | C | I | | B | 20060101 |

US Classification, Issued: 70537.0

File Segment: EPI;

DWPI Class: T01

Manual Codes (EPI/S-X): T01-J03; T01-J08A2; T01-N01A1

14/5/4 (Item 4 from file: 350) [Links](#)Fulltext available through: [Order File History](#)

Derwent WPIX

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0012754935 & & *Drawing available*

WPI Acc no: 2002-608121/200265

XRPX Acc No: N2002-481671

Structured financial product buying and selling method for computerized auction system, involves publishing product bid information to each client and displaying submitted bids together during offer for sale

Patent Assignee: DOWNES P F (DOWN-I); KAPLAN H A (KAPL-I);

VERTICALCROSSINGS.COM INC (VERT-N)

Inventor: DOWNES P F; KAPLAN H A

Patent Family (4 patents, 97 & countries)

| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
|----------------|------|----------|--------------------|------|----------|--------|------|
| US 20020095369 | A1 | 20020718 | US 2001261502 | P | 20010112 | 200265 | B |
| | | | US 200243899 | A | 20020111 | | |
| WO 2002056146 | A2 | 20020718 | WO 2002US684 | A | 20020111 | 200265 | E |
| AU 2002239859 | A1 | 20020724 | AU 2002239859 | A | 20020111 | 200427 | E |
| AU 2002239859 | A8 | 20051006 | AU 2002239859 | A | 20020111 | 200612 | E |

Priority Applications (no., kind, date): US 2001261502 P 20010112; US 200243899 A 20020111

Patent Details

| Patent Number | Kind | Lan | Pgs | Draw | Filing Notes | |
|-------------------------------------|---|-----|-----|------|------------------------|---------------|
| US 20020095369 | A1 | EN | 32 | 18 | Related to Provisional | US 2001261502 |
| WO 2002056146 | A2 | EN | | | | |
| National Designated States,Original | AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW | | | | | |
| Regional Designated States,Original | AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZM ZW | | | | | |
| AU 2002239859 | A1 | EN | | | Based on OPI patent | WO 2002056146 |
| AU 2002239859 | A8 | EN | | | Based on OPI patent | WO 2002056146 |

Alerting Abstract US A1

NOVELTY - Offer for the sale of a structured financial product is published anonymously over a computer network by a crust computer to several clients for a predetermined period. Bid information about the product is published automatically to each client in real time as each bid is submitted by one of the clients. All the submitted bids are displayed together during the offer for sale.

DESCRIPTION - INDEPENDENT CLAIMS are included for the following:

3. Anonymous auctioning system;
4. Computer readable media;
5. Computer system;
6. Method of realizing interest in the sale of structured financial product;
7. Client alerting method;
8. Client alerting system;
9. Structured financial product tracking method;
10. Structured financial product tracking system; and
11. Structured financial product valuating method.

USE - Structured financial product buying and selling method for computerized auction system using computer network.

ADVANTAGE - Increases market transparency and allows complete transparency of all transactions by publishing all bids and offers submitted to the auctions and trading functions of the institutions and eliminates inefficiency of the market. Automates and centralizes the system by which investors trade structured products within the fixed income market place, prevents the reduction of market liquidity, standardizes trading practices. Generates largest possible audience and allows them to meet in a common anonymous and transparent electronic market place to realize the best prices and eliminates dishonest and deceitful trading practice. Allows all investors and broker dealers participating on the auction host's web site to easily view and monitor the entire depth and breadth of the market clearly, securely and efficiently in real time with complete anonymity and market transparency to both buyer and seller. Provides superior reliability and price accuracy to users and eliminates problems of bid lists dragging on for lengthy periods of time past the scheduled execution time and facilitates timely and orderly transactions. Facilitates various billing, accounting and administrative functions and allows users to quickly gauge overall market strength by maturity, security sector and security type in seconds. Provides a most accurate structured product portfolio valuation pricing service by determining price based on the database of actual live transactions in an unbiased manner.

DESCRIPTION OF DRAWINGS - The figure shows the process flow of the bid ladder system.

Title Terms /Index Terms/Additional Words: STRUCTURE; FINANCIAL; PRODUCT; BUY; SELL; METHOD; COMPUTER; AUCTION; SYSTEM; PUBLICATION; BID; INFORMATION; CLIENT; DISPLAY; SUBMIT; OFFER; SALE

Class Codes

International Patent Classification

| IPC | Class Level | Scope | Position | Status | Version Date |
|--------------|-------------|-------|----------|--------|--------------|
| G06F-017/60 | | | Main | | "Version 7" |
| G06Q-0030/00 | A | I | | R | 20060101 |
| G06F | S | I | | R | 20060101 |

| | | | | | | |
|--------------|---|---|--|---|----------|--|
| G06Q-0030/00 | C | I | | R | 20060101 | |
|--------------|---|---|--|---|----------|--|

US Classification, Issued: 70537

File Segment: EPI;

DWPI Class: T01; T05

Manual Codes (EPI/S-X): T01-J05A2F; T01-N01A1; T01-N01A2A; T01-N01A2F; T01-N02B1B; T01-N03A1; T01-S03; T05-L02

^ 14/5/5 (Item 5 from file: 350) [Links](#)

Fulltext available through: [Order File History](#)

Derwent WPIX

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0012668484 & *Drawing available*

WPI Acc no: 2002-518521/200255

XRPX Acc No: N2002-410407

Client advice interactions tracking-computer system for solicited securities transaction, creates record of customer interaction and collects information about customer interaction based on selected interaction type

Patent Assignee: PERKEL R (PERK-I); SCAFA R (SCAF-I)

Inventor: PERKEL R; SCAFA R

Patent Family (1 patents, 1 & countries)

| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
|----------------|------|----------|--------------------|------|----------|--------|------|
| US 20020062273 | A1 | 20020523 | US 2000252825 | P | 20001122 | 200255 | B |
| | | | US 2001877988 | A | 20010608 | | |

Priority Applications (no., kind, date): US 2000252825 P 20001122; US 2001877988 A 20010608

Patent Details

| Patent Number | Kind | Lan | Pgs | Draw | Filing Notes | |
|----------------|------|-----|-----|------|------------------------|---------------|
| US 20020062273 | A1 | EN | 42 | 16 | Related to Provisional | US 2000252825 |

Alerting Abstract US A1

NOVELTY - An advice documentation program, executable by a client computer, has computer instructions for creating a record of a customer interaction and for collecting information about the customer interaction based on the type of customer interaction being selected.

DESCRIPTION - INDEPENDENT CLAIMS are included for the following:

12. Client advice interactions tracking method; and

13. Computer readable storage medium storing the advice documentation program executable by the client computer.

USE - For solicited securities transaction in tracking advice interactions between broker representations on one end and clients, or prospective clients.

ADVANTAGE - Provides an automated documentation of all advice interactions between clients in solicited securities transactions with the advice documentation program.

DESCRIPTION OF DRAWINGS - The figure shows an hierarchical structure of the client device interactions tracking computer system.

Title Terms /Index Terms/Additional Words: CLIENT; ADVICE; INTERACT; TRACK; COMPUTER; SYSTEM; SECURE; TRANSACTION; RECORD; CUSTOMER; COLLECT; INFORMATION; BASED; SELECT; TYPE

Class Codes

| International Patent Classification | | | | | |
|-------------------------------------|-------------|-------|----------|--------|--------------|
| IPC | Class Level | Scope | Position | Status | Version Date |
| G06Q-0030/00 | A | I | | R | 20060101 |
| G06Q-0030/00 | C | I | | R | 20060101 |

US Classification, Issued: 70537, 7051

File Segment: EPI;

DWPI Class: T01

Manual Codes (EPI/S-X): T01-J05B4P; T01-N01A2F; T01-N02A3C; T01-N02B2; T01-S03

^19/5/8 (Item 8 from file: 350) [Links](#)

Fulltext available through: [Order File History](#)

Derwent WPIX

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0012668220 & & *Drawing available*

WPI Acc no: 2002-518252/200255

Related WPI Acc No: 2002-507443

XRPX Acc No: N2002-410141

Application for facilitating interaction of client with communication center resources, has user interface that enables client to initiate live interaction with communication center

Patent Assignee: ALBERT COUSSEMENT S V (COUS-I); GENESYS TELECOM LAB INC (GENE-N)

Inventor: ALBERT COUSSEMENT S V; COUSSEMENT S V A

| Patent Family (2 patents, 27 & countries) | | | | | | | |
|---|------|----------|--------------------|------|----------|--------|------|
| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
| US 20020056000 | A1 | 20020509 | US 2000710042 | A | 20001108 | 200255 | B |

| | | | | | | | |
|------------|----|----------|---------------|---|----------|--------|---|
| | | | US 2001766271 | A | 20010118 | | |
| EP 1227635 | A2 | 20020731 | EP 20021005 | A | 20020117 | 200257 | E |

Priority Applications (no., kind, date): US 2000710042 A 20001108; US 2001766271 A 20010118

| Patent Details | | | | | | |
|-------------------------------------|---|-----|-----|------|----------------------|---------------|
| Patent Number | Kind | Lan | Pgs | Draw | Filing Notes | |
| US 20020056000 | A1 | EN | 27 | 9 | C-I-P of application | US 2000710042 |
| EP 1227635 | A2 | EN | | | | |
| Regional Designated States,Original | AL AT BE CH CY DE DK ES FI FR GB GR IE IT LI LT LU LV MC MK NL PT RO SE SI TR | | | | | |

Alerting Abstract US A1

NOVELTY - An interactive client interface component is operated by the client to post client data and for receiving and displaying agent and interaction data from the communication center. Client and communication center data and communication are managed by a brokering component.

DESCRIPTION - The individual status of the communication center and the client is monitored by a status monitoring and reporting component. The use of the interface by the client enables to access and alter communication center data and to initiate live interaction with the communication center.

An **INDEPENDENT CLAIM** is also included for a customer interaction system.

USE - For facilitating interaction of client with communication center resources.

ADVANTAGE - Provides clients with a self-service interface that enables each client to determine agent states without calling the center, publish his or her own state without requiring the center to initiate a call, and perform a variety of business-related tasks at the center without requiring any agent interaction. Allows a client to set up parameters on the fly rather than the normal way of requiring him to log onto a client portal in order to configure his account.

DESCRIPTION OF DRAWINGS - The figure shows an overview of a communication network in which reporting of communication center presence is practiced.

Title Terms /Index Terms/Additional Words: APPLY; FACILITATE; INTERACT; CLIENT; COMMUNICATE; RESOURCE; USER; INTERFACE; ENABLE; INITIATE; LIVE

Class Codes

| International Patent Classification | | | | | | |
|-------------------------------------|-------------|-------|----------|--------|--------------|--|
| IPC | Class Level | Scope | Position | Status | Version Date | |
| H04L-0012/24 | A | I | | R | 20060101 | |
| H04L-0012/58 | A | I | | R | 20060101 | |
| H04L-0029/06 | A | N | | R | 20060101 | |
| H04M-0003/22 | A | N | | R | 20060101 | |
| H04M-0003/36 | A | N | | R | 20060101 | |
| H04M-0003/51 | A | I | | R | 20060101 | |
| H04M-0003/523 | A | I | | R | 20060101 | |
| H04M-0003/523 | A | N | | R | 20060101 | |
| H04M-0007/12 | A | N | | R | 20060101 | |
| H04L-0012/24 | C | I | | R | 20060101 | |

| | | | | | |
|--------------|---|---|--|---|----------|
| H04L-0012/58 | C | I | | R | 20060101 |
| H04L-0029/06 | C | N | | R | 20060101 |
| H04M-0003/22 | C | N | | R | 20060101 |
| H04M-0003/36 | C | N | | R | 20060101 |
| H04M-0003/50 | C | I | | R | 20060101 |
| H04M-0007/12 | C | N | | R | 20060101 |

US Classification, Issued: 709225, 709238

File Segment: EPI;

DWPI Class: T01; W01

Manual Codes (EPI/S-X): T01-N01A2A; W01-C02G3B

19/5/10 (Item 10 from file: 350) [Links](#)

Fulltext available through: [Order File History](#)

Derwent WPIX

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0012505318 & & *Drawing available*

WPI Acc no: 2002-453200/200248

XRPX Acc No: N2002-357329

Information providing method for customer requesting for information involves reviewing portion of query and response transmitted to input-output device

Patent Assignee: AVAYA TECHNOLOGY CORP (AVAY-N)

Inventor: BALAKRISHNAN G; BUNYAN P; BUSEY A T; CHEVRIE R E; CURRIE G; MOORE D M; MORRISON B; NOVOSEL P; SEAH K A; TIEN Y S

Patent Family (1 patents, 1 & countries)

| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
|---------------|------|----------|--------------------|------|----------|--------|------|
| US 6377944 | B1 | 20020423 | US 1998210169 | A | 19981211 | 200248 | B |

Priority Applications (no., kind, date): US 1998210169 A 19981211

Patent Details

| Patent Number | Kind | Lan | Pgs | Draw | Filing Notes |
|---------------|------|-----|-----|------|--------------|
| US 6377944 | B1 | EN | 19 | 4 | |

Alerting Abstract US B1

NOVELTY - A customer query is indicated to a database after receiving signals from an input/output device. Information responsive to the query is then retrieved. A response to the query is then formed with the retrieved information. A portion to the query and response is transmitted to the input/output device. The transmitted portion of the query and response is then reviewed.

DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:

- A. a method for recording customer's action;
- B. and an information exchange system.

USE - For providing information to customer requesting for information via web response unit including computer network based communication.

ADVANTAGE - Provides call with information through communication types, such as chat, e-mail, IP voice, web page, digital image. Allows single agent to handle multiple customers on multiple channels or end points. Provides detailed agent performance tracking. Prioritizes and assigns calls to agent based on number of criteria.

DESCRIPTION OF DRAWINGS - The figure shows a flowchart illustrating flow of questions through self help system.

Title Terms /Index Terms/Additional Words: INFORMATION; METHOD; CUSTOMER; REQUEST; PORTION; QUERY; RESPOND; TRANSMIT; INPUT; OUTPUT; DEVICE

Class Codes

| International Patent Classification | | | | | |
|-------------------------------------|-------------|-------|----------|--------|--------------|
| IPC | Class Level | Scope | Position | Status | Version Date |
| G06F-0017/30 | A | I | | R | 20060101 |
| H04L-0029/06 | A | I | | R | 20060101 |
| G06F-0017/30 | C | I | | R | 20060101 |
| H04L-0029/06 | C | I | | R | 20060101 |

US Classification, Issued: 7073, 7074, 707104, 370389, 379265

File Segment: EPI;

DWPI Class: T01; W01

Manual Codes (EPI/S-X): T01-J11C2; T01-N01B2; T01-N01C; T01-N01D1A; T01-N01D1B; W01-C05B4; W01-C05B5C

19/5/12 (Item 12 from file: 350) [Links](#)

Fulltext available through: [Order File History](#)

Derwent WPIX

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0010190261 & & *Drawing available*

WPI Acc no: 2000-500287/200045

XPX Acc No: N2000-370831

Client side activity tracking uses downloaded applet to track client browser activity and periodically transmit activity log to server

Patent Assignee: LUCENT TECHNOLOGIES INC (LUCE)

Inventor: ANUPAM V; GEHANI N H

Patent Family (2 patents, 26 & countries)

| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
|---------------|------|----------|--------------------|------|----------|--------|------|
| EP 1026608 | A2 | 20000809 | EP 2000300385 | A | 20000119 | 200045 | B |
| CA 2296140 | A1 | 20000728 | CA 2296140 | A | 20000114 | 200051 | E |

Priority Applications (no., kind, date): US 1999239134 A 19990128

Patent Details

| Patent Number | Kind | Lan | Pgs | Draw | Filing Notes |
|-------------------------------------|------|---|-----|------|--------------|
| EP 1026608 | A2 | EN | 9 | 4 | |
| Regional Designated States,Original | | AL AT BE CH CY DE DK ES FI FR GB GR IE IT LI LT LU LV MC MK NL PT RO SE SI | | | |
| CA 2296140 | A1 | EN | | | |

Alerting Abstract EP A2

NOVELTY - The communications system, e.g. Internet, has client computers using browsers to access web servers. When the user requests (302) a document from a server, the server can also download (304) an embedded agent, e.g. applet. The agent operates on the client computer to collect information on browser activity, e.g. pages visited and viewed or forms completed. Periodically the agent then returns the collected log information to a server site for storage.

USE - Tracking of user activity on the Internet

ADVANTAGE - By having a consistent and complete record of client side activity, a more useful analysis of client interests is obtained.

Title Terms /Index Terms/Additional Words: CLIENT; SIDE; ACTIVE; TRACK; PERIOD;
TRANSMIT; LOG; SERVE

Class Codes

International Patent Classification

| IPC | Class Level | Scope | Position | Status | Version Date |
|--------------|-------------|-------|----------|--------|--------------|
| G06Q-0030/00 | A | I | | R | 20060101 |
| G06Q-0030/00 | C | I | | R | 20060101 |

File Segment: EPI;

DWPI Class: T01

Manual Codes (EPI/S-X): T01-H07C3E; T01-H07C5A; T01-H07C5E; T01-J05A2

19/5/14 (Item 14 from file: 350) [Links](#)Fulltext available through: [Order File History](#)

Derwent WPIX

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0009768694 & & Drawing available

WPI Acc no: 2000-056132/200005

XRPX Acc No: N2000-043908

Watchdog system to validate the distribution of advertising and programming in cable television, hotels and web sites

Patent Assignee: INT BUSINESS MACHINES CORP (IBMC)

Inventor: FLAVIN R A; NIHAL P; PEREZ R; SMITH S W

Patent Family (2 patents, 2 & countries)

| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
|---------------|------|----------|--------------------|------|----------|--------|------|
| GB 2339038 | A | 20000112 | GB 19996344 | A | 19990322 | 200005 | B |
| US 6219788 | B1 | 20010417 | US 199878671 | A | 19980514 | 200123 | E |

Priority Applications (no., kind, date): US 199878671 A 19980514

Patent Details

| Patent Number | Kind | Lan | Pgs | Draw | Filing Notes |
|---------------|------|-----|-----|------|--------------|
| GB 2339038 | A | EN | 24 | 6 | |

Alerting Abstract GB A

NOVELTY - The watchdog system (400) has a processing engine (402) that creates records of distribution content and reports based on the producer set. A distribution log (404) stores the records and an authentication unit (408) validates the operation of the processor engine and transmits an authentication signal for the validated operations.

DESCRIPTION - INDEPENDENT CLAIMS are included for a method and computer program product for processing a producer set.

USE - The watchdog system may be used to validate the distribution of advertising and programming in cable television, hotels and web sites before they are sent to users/viewers.

ADVANTAGE - The watchdog system can monitor pay per view and other payment freed services without the possibility of altering the records by either the subscriber or the user.

DESCRIPTION OF DRAWINGS - The drawing shows a block diagram of the watchdog monitoring system.

400 Watchdog system

402 Processing engine

404 Distribution log

408 Authentication unit

Title Terms /Index Terms/Additional Words: WATCHDOG; SYSTEM; VALID; DISTRIBUTE; ADVERTISE; PROGRAM; CABLE; TELEVISION; HOTEL; WEB; SITE

Class Codes

International Patent Classification

| IPC | Class Level | Scope | Position | Status | Version Date |
|-----|-------------|-------|----------|--------|--------------|
|-----|-------------|-------|----------|--------|--------------|

| | | | | | |
|--------------------------|--|--|-----------|--|-------------|
| G06F-011/30; G06F-011/34 | | | Main | | "Version 7" |
| G06F-017/60 | | | Secondary | | "Version 7" |

US Classification, Issued: 713194, 713200, 380202, 380203, 3487, 34810, 70551, 70553

File Segment: EPI;

DWPI Class: T01; T05

Manual Codes (EPI/S-X): T01-G05A; T01-G05C1; T01-H07C5A; T01-J05A1; T01-J05A2; T01-S03; T05-H05C

20/5/1 (Item 1 from file: 350) [Links](#)

Fulltext available through: [Order File History](#)

Derwent WPIX

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0012396019 & *Drawing available*

WPI Acc no: 2002-339718/200237

XRPX Acc No: N2002-267145

Providing financial functions for clients by creating risk management information for analysis in context of financial information

Patent Assignee: TRADERISKS INC (TRAD-N)

Inventor: PILATO A M

Patent Family (2 patents, 94 & countries)

| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
|---------------|------|----------|--------------------|------|----------|--------|------|
| WO 2002019173 | A1 | 20020307 | WO 2001US27038 | A | 20010830 | 200237 | B |
| AU 200188548 | A | 20020313 | AU 200188548 | A | 20010830 | 200249 | E |

Priority Applications (no., kind, date): US 2000650733 A 20000830

Patent Details

| Patent Number | Kind | Lan | Pgs | Draw | Filing Notes | |
|-------------------------------------|--|-----|-----|------|---------------------|---------------|
| WO 2002019173 | A1 | EN | 73 | 3 | | |
| National Designated States,Original | AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW | | | | | |
| Regional Designated States,Original | AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW | | | | | |
| AU 200188548 | A | EN | | | Based on OPI patent | WO 2002019173 |

Alerting Abstract WO A1

NOVELTY - Method consists in demonstrating that agent and subagent activities can be transparent to the client, creating risk management information, analyzing it and sending the activities through a network. The client can monitor in real time, an audit log is provided, the client is informed of performance reviews, the best rate or price for the trade is identified and the financial information includes e.g. benchmarks, market risk limits, liquidity and debt management. Liabilities and assets are also given with strategic objectives.

DESCRIPTION - There are INDEPENDENT CLAIMS for (1) a financial management program, (2) an apparatus for providing agent financial functions, (3) a method for a client to outsource agent financial functions, (4) a method of operating information devices, (5) a computer.

USE - Method is for financial risk management and trading.

DESCRIPTION OF DRAWINGS - The figure shows a flow chart of the financial trading method.

Title Terms /Index Terms/Additional Words: FINANCIAL; FUNCTION; CLIENT; RISK; MANAGEMENT; INFORMATION; ANALYSE; CONTEXT

Class Codes

| International Patent Classification | | | | | |
|-------------------------------------|-------------|-------|----------|--------|--------------|
| IPC | Class Level | Scope | Position | Status | Version Date |
| G06Q-0040/00 | A | I | | R | 20060101 |
| G06Q-0040/00 | C | I | | R | 20060101 |

File Segment: EPI;

DWPI Class: T01

Manual Codes (EPI/S-X): T01-J05A2E; T01-N01A2F; T01-N02B2; T01-S03

24/5/1 (Item 1 from file: 350) [Links](#)

Fulltext available through: [Order File History](#)

Derwent WPIX

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0010742047 & & *Drawing available*

WPI Acc no: 2001-354667/200137

XRPX Acc No: N2001-257716

Data logger recovery method for use in storage and shipping control application, involves establishing data communication link between data logger and server, for uploading sensor derived data from logger to server

Patent Assignee: FLYNN K E (FLYN-I); MARATHON PROD INC (MARA-N); NAKAGAWA J Y (NAKA-I); REEL G T (REEL-I)

Inventor: FLYNN K E; NAKAGAWA J Y; REEL G T

| Patent Family (8 patents, 93 & countries) | | | | | | | |
|---|------|----------|--------------------|------|----------|--------|------|
| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
| WO 2001018694 | A2 | 20010315 | WO 2000US24050 | A | 20000901 | 200137 | B |

| | | | | | | | |
|----------------|----|----------|----------------|---|----------|--------|---|
| AU 200074737 | A | 20010410 | AU 200074737 | A | 20000901 | 200137 | E |
| EP 1287424 | A2 | 20030305 | EP 2000963302 | A | 20000901 | 200319 | E |
| | | | WO 2000US24050 | A | 20000901 | | |
| US 20040111340 | A1 | 20040610 | US 1999152397 | P | 19990903 | 200438 | E |
| | | | US 2000487766 | A | 20000119 | | |
| | | | US 2003724660 | A | 20031201 | | |
| US 20040167837 | A1 | 20040826 | US 1999152397 | P | 19990903 | 200457 | E |
| | | | US 2000487766 | A | 20000119 | | |
| | | | US 2003724660 | A | 20031201 | | |
| | | | US 2004781273 | A | 20040217 | | |
| US 6873936 | B2 | 20050329 | US 1999152397 | P | 19990903 | 200522 | E |
| | | | US 2000487766 | A | 20000119 | | |
| | | | US 2003724660 | A | 20031201 | | |
| | | | US 2004781273 | A | 20040217 | | |
| US 20050182598 | A1 | 20050818 | US 1999152397 | P | 19990903 | 200555 | E |
| | | | US 2000487766 | A | 20000119 | | |
| | | | US 2003724660 | A | 20031201 | | |
| | | | US 2004781273 | A | 20040217 | | |
| | | | US 200550339 | A | 20050202 | | |
| CA 2384106 | C | 20060822 | CA 2384106 | A | 20000901 | 200657 | E |
| | | | WO 2000US24050 | A | 20000901 | | |

Priority Applications (no., kind, date): US 1999152397 P 19990903; US 2000487766 A 20000119;
US 2003724660 A 20031201; US 2004781273 A 20040217; US 200550339 A 20050202

Patent Details

| Patent Number | Kind | Lan | Pgs | Draw | Filing Notes | |
|-------------------------------------|---|-----|-----|------|-----------------------------|----------------|
| WO 2001018694 | A2 | EN | 31 | 5 | | |
| National Designated States,Original | AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW | | | | | |
| Regional Designated States,Original | AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW | | | | | |
| AU 200074737 | A | EN | | | Based on OPI patent | WO 2001018694 |
| EP 1287424 | A2 | EN | | | PCT Application | WO 2000US24050 |
| | | | | | Based on OPI patent | WO 2001018694 |
| Regional Designated States,Original | AL AT BE CH CY DE DK ES FI FR GB GR IE IT LI LT LU LV MC MK NL PT RO SI | | | | | |
| US 20040111340 | A1 | EN | | | Related to Provisional | US 1999152397 |
| | | | | | Continuation of application | US 2000487766 |
| US 20040167837 | A1 | EN | | | Related to Provisional | US 1999152397 |
| | | | | | Continuation of application | US 2000487766 |

| | | | | | |
|----------------|----|----|--|-----------------------------|----------------|
| | | | | Division of application | US 2003724660 |
| US 6873936 | B2 | EN | | Related to Provisional | US 1999152397 |
| | | | | Continuation of application | US 2000487766 |
| | | | | Division of application | US 2003724660 |
| US 20050182598 | A1 | EN | | Related to Provisional | US 1999152397 |
| | | | | Continuation of application | US 2000487766 |
| | | | | Division of application | US 2003724660 |
| | | | | Continuation of application | US 2004781273 |
| | | | | Continuation of patent | US 6873936 |
| CA 2384106 | C | EN | | PCT Application | WO 2000US24050 |
| | | | | Based on OPI patent | WO 2001018694 |

Alerting Abstract WO A2

NOVELTY - The method involves establishing communication between data logger provided with identifier and data acquisition server having software access to identifier, through wide area network. The data logger is identified based on the identifier. The sensor derived data from the data logger is uploaded to server via wide area network.

DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:

14. System for recovering logged data from remote logger used for recording sensor derived data;
15. System for remotely monitoring sensor data;
16. Method of assessing fee for use of data logger

USE - In stationary storage and shipping control application for monitoring temperature, humidity and other environmental characteristics, in transportation industry for monitoring shipments of fruits, vegetables, chemicals, poultry, seed pods, flower, frozen goods, drugs, biologics and other temperature sensitive goods.

ADVANTAGE - Eliminates need to return logger to manufacturer or agency for reprogramming, it is reprogrammed over network connection, thus eliminates transportation cost and transit damage.

Eliminates huge cost of maintaining large inventory of loggers for customers, as same logger can be reprogrammed. Billing of customers using logger is easily done using server software.

DESCRIPTION OF DRAWINGS - The figure shows the flowchart explaining remote reading, enabling and reprogramming of data loggers.

Title Terms /Index Terms/Additional Words: DATA; LOG; RECOVER; METHOD; STORAGE; SHIPPING; CONTROL; APPLY; ESTABLISH; COMMUNICATE; LINK; SERVE; SENSE; DERIVATIVE

Class Codes

International Patent Classification

| IPC | Class Level | Scope | Position | Status | Version Date |
|--------------|-------------|-------|----------|--------|--------------|
| G01D-0009/00 | A | I | L | R | 20060101 |
| G01D-0009/00 | A | I | | R | 20060101 |
| G06F-0017/40 | A | I | F | R | 20060101 |
| G06Q-0030/00 | A | I | L | R | 20060101 |

| | | | | | |
|--------------|---|---|---|---|----------|
| G06Q-0030/00 | A | I | | R | 20060101 |
| G01D-0009/00 | C | I | L | R | 20060101 |
| G01D-0009/00 | C | I | | R | 20060101 |
| G06F-0017/40 | C | I | F | R | 20060101 |
| G06Q-0030/00 | C | I | L | R | 20060101 |
| G06Q-0030/00 | C | I | | R | 20060101 |

US Classification, Issued: 70534, 70228, 70534, 70526, 702187, 70529, 702187

File Segment: EPI;

DWPI Class: T01

Manual Codes (EPI/S-X): T01-J07A

~~Patent Literature Full - Text

[File 348] EUROPEAN PATENTS 1978-2007/ 200812

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[File 349] PCT FULLTEXT 1979-2008/UB=20080306UT=20080228

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; d s
Set      Items      Description
S1       93474      S (CLIENT? OR INDIVIDUAL OR INVESTOR? OR
SHOPPER? OR PURCHASER? OR BUYER? OR CUSTOMER? OR CONSUMER? OR
PERSON OR MEMBER? ? OR SUBSCRIBER? ?) (3N) (TRACK??? OR
MONITOR??? OR MONITORABLE OR OBSERV??? OR WATCH??? OR LOOK??? OR
VIEW??? OR SUPERVIS??? OR TRANSPARENT)
S2       23511      S AGENT? ? OR BROKER? ? OR TRADER? ? OR
STOCKBROKER? ? OR SELLER? ?
S3       72965      S DYNAMIC? OR CURRENT? OR IMMEDIAT? OR INSTANT?
OR INTERACTIV?? OR LIVE OR ON(1W)FLY OR REAL()TIME OR REALTIME
OR SIMULTANEOUS? OR UP(1W)DATE OR UP(2W)MINUTE OR UPDATE?
S4       15391      S (TRANSACTION? ? OR AUDIT OR LOG OR ORDER? ? OR
ACTION? ? OR EVENT) (2N) (LOG OR LOGS OR LOGGED OR TRAIL? ? OR
FILE? ? OR RECORD??? OR JOURNAL? ?) OR LOGFILE? ?
S5       11267      S (HALT??? OR END??? OR TERMINAT??? OR
DISCONTINU??? OR INTERRUPT??? OR SUSPEND??? OR STOP? ? OR
STOPPING OR ABORT??? OR CANCEL???) (3N) (EXECUT??? OR PERFORM???
OR ACTION? ? OR ACTIVAT??? OR IMPLEMENT??? OR INITIALI??? OR
TRADING OR TRADE? ? OR ORDER??? OR BID OR BIDDING OR SELLING OR
ACTIVITIES OR TRANSACTION? ?)
S6       62884      S INTERNET OR INTRANET OR WAN OR LAN OR NETWORK?
? OR SERVER? ? OR ONLINE OR ON()LINE OR ELECTRONIC? OR WEB OR
WEBSITE? OR WEBPAGE? OR REMOTE?? OR DISTRIBUTED
S7       2          S AU=(PILATO, A? OR PILATO A? OR PILATO (1N) (A
OR ALEJANDRO))
S8       207884     S IC=(G06F OR G06Q)
S9       2312      S S1 (3N) S3
S10      124       S S9 (S) S2
S11      17        S S10 (S) S4
S12      13        S S11 (S) S5
S13      13        IDPAT (sorted in duplicate/non-duplicate order)
S14      13        IDPAT (primary/non-duplicate records only)
S15      9         S S14 (S) S6
S16      8         S S15 AND S8
S17      2008      S S1 (3S) S5
S18      256       S S17 (S) S4

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| | | |
|-----|-----|---|
| S19 | 188 | S S18 (S) S6 |
| S20 | 72 | S S19 (S) S2 |
| S21 | 67 | S S20 (S) S3 |
| S22 | 62 | S S21 NOT S16 |
| S23 | 62 | IDPAT (sorted in duplicate/non-duplicate order) |
| S24 | 62 | IDPAT (primary/non-duplicate records only) |
| S25 | 17 | S S24 NOT AD>20000830 |
| S26 | 873 | S S1 (5N) S2 |
| S27 | 54 | S S26 (3N) S3 |
| S28 | 36 | S S27 AND S8 |
| S29 | 34 | S S28 NOT (S16 OR S25) |
| S30 | 7 | S S29 NOT AD>20000830 |
| S31 | 217 | S S2 (3N) S5 |
| S32 | 18 | S S31 (5N) S3 |
| S33 | 6 | S S32 (S) S6 |
| S34 | 6 | S S33 NOT (S16 OR S25 OR S29) |
| S35 | 6 | IDPAT (sorted in duplicate/non-duplicate order) |
| S36 | 6 | IDPAT (primary/non-duplicate records only) |
| S37 | 1 | S S36 NOT AD>20000830 |
| S38 | 2 | S S7 AND S8 |
| S39 | 2 | IDPAT (sorted in duplicate/non-duplicate order) |
| S40 | 2 | IDPAT (primary/non-duplicate records only) |

16/5K/6 (Item 6 from file: 349) [Links](#)

Fulltext available through: [Order File History](#)

PCT FULLTEXT

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00803948

METHOD OF AND SYSTEM FOR ENABLING BRAND-IMAGE COMMUNICATION
BETWEEN VENDORS AND CONSUMERS

PROCEDE ET SYSTEME PERMETTANT DE COMMUNIQUER UNE IMAGE DE MARQUE
ENTRE DES VENDEURS ET DES CONSOMMATEURS

Patent Applicant/Patent Assignee:

17. IPF INC; Soundview Plaza, 1266 East Main Street, Stamford, CT 06902

US; US(Residence); US(Nationality)

(For all designated states except: US)

18. PERKOWSKI Thomas J; 10 Waldon Road, Darien, CT 06820

US; US(Residence); US(Nationality)

(Designated only for: US)

Patent Applicant/Inventor:

19. PERKOWSKI Thomas J

10 Waldon Road, Darien, CT 06820; US; US(Residence); US(Nationality); (Designated only for:
US)

Legal Representative:

20. PERKOWSKI Thomas J(agent)

Thomas J. Perkowski, P.C., Soundview Plaza, 1266 East Main Street, Stamford, CT 06902; US;

| | Country | Number | Kind | Date |
|-------------|---------|-------------|-------|----------|
| Patent | WO | 200137540 | A2-A3 | 20010525 |
| Application | WO | 2000US31757 | | 20001117 |
| Priorities | US | 99441973 | | 19991117 |
| | US | 99447121 | | 19991122 |
| | US | 99465859 | | 19991217 |
| | US | 2000483105 | | 20000114 |
| | US | 2000599690 | | 20000622 |
| | US | 2000641908 | | 20000818 |
| | US | 2000695744 | | 20001024 |

Designated States: (All protection types applied unless otherwise stated - for applications 2004+)

[EP] AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;

GR; IE; IT; LU; MC; NL; PT; SE; TR;

[OA] BF; BJ; CF; CG; CI; CM; GA; GN; GW; ML;

MR; NE; SN; TD; TG;

[AP] GH; GM; KE; LS; MW; MZ; SD; SL; SZ; TZ;
UG; ZW;

[EA] AM; AZ; BY; KG; KZ; MD; RU; TJ; TM;

Main International Patent Classes (Version 7):

| IPC | Level |
|----------------|-------|
| G06F-017/60 | Main |
| G06F-017/60 | Main |
| G06F-015/16 | |
| G09G-005/00 | |
| G06F-015/16... | |

Publication Language: English

Filing Language: English

Fulltext word count: 116871

English Abstract:

An integrated consumer product marketing and information system which enables manufacturers, retailers, and consumers to carry out product-related functions: an internet product information subsystem (2) delivers information to interested consumers, using universal product code information in particular (3); product advertising is delivered to consumers (2A) within physical and electronic shopping environments; a sales analysis and forecasting subsystem (5) enables retailer purchasing agents to make obtain information about manufacturers' products in order to make informed purchases along the supply chain.

| Type | Pub. Date | Kind | Text |
|---------------|-----------|------|--|
| Publication | 20010525 | A2 | Without international search report and to be republished upon receipt of that report. |
| Search Rpt | 20020926 | | Late publication of international search report |
| Republication | 20020926 | A3 | With international search report. |
| Republication | 20020926 | A3 | Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments. |
| Examination | 20030313 | | Request for preliminary examination prior to end of 19th month from priority date |

16/5K/8 (Item 8 from file: 349) [Links](#)

Fulltext available through: [Order File History](#)

PCT FULLTEXT

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00784119

A SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR A REFRESHABLE
PROXY POOL IN A COMMUNICATION ENVIRONMENT
SYSTEME, PROCEDE ET ARTICLE POUR GROUPE D'ELEMENTS MANDATAIRES

(PROXY) RAFRAICHISSABLES DANS UN ENVIRONNEMENT A CONFIGURATIONS DE SERVICES DE COMMUNICATION

Patent Applicant/Patent Assignee:

21. ACCENTURE LLP; 1661 Page Mill Road, Palo Alto, CA 94304
 US; US(Residence); US(Nationality)

Legal Representative:

22. HICKMAN Paul L(agent)
 Oppenheimer Wolff & Donnelly LLP, 1400 Page Mill Road, Palo Alto, CA 94304; US;

| | Country | Number | Kind | Date |
|-------------|---------|-------------|-------|----------|
| Patent | WO | 200116668 | A2-A3 | 20010308 |
| Application | WO | 2000US24113 | | 20000831 |
| Priorities | US | 99386239 | | 19990831 |

Designated States: (All protection types applied unless otherwise stated - for applications 2004+)

[EP] AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;
 GR; IE; IT; LU; MC; NL; PT; SE;

[OA] BF; BJ; CF; CG; CI; CM; GA; GN; GW; ML;
 MR; NE; SN; TD; TG;

[AP] GH; GM; KE; LS; MW; MZ; SD; SL; SZ; TZ;
 UG; ZW;

[EA] AM; AZ; BY; KG; KZ; MD; RU; TJ; TM;

Main International Patent Classes (Version 7):

| IPC | Level |
|-------------|-------|
| G06F-009/46 | Main |
| G06F-009/46 | Main |

Publication Language: English

Filing Language: English

Fulltext word count: 149976

English Abstract:

A system, method, and article of manufacture are provided for interfacing a naming service and a client with the naming service allowing access to a plurality of different sets of services from a plurality of globally addressable interfaces. The naming service calls for receiving locations of the global addressable interfaces. As a result of the calls, proxies are generated based on the received locations of the global addressable interfaces. The proxies are received in an allocation queue where the proxies are then allocated in a proxy pool. Access to the proxies in the proxy pool is allowed for

identifying the location of one of the global addressable interfaces in response to a request received from the client.

French Abstract:

L'invention concerne un systeme, un procede et un article permettant d'assurer l'interface entre un service de denomination et un client, le service de denomination donnant acces a plusieurs series de services a partir de plusieurs interfaces globalement adressables. Le service de denomination etablit des appels pour recevoir les emplacements des interfaces globalement adressables. Suite aux appels en question, les elements proxy sont etablis sur la base des emplacements recus pour les interfaces globalement adressables. Ces elements sont recus dans une file d'attente d'affectation puis attribues a un groupe d'elements proxy depuis la file d'attente. L'accès aux elements de ce groupe est autorisé pour identifier l'emplacement de l'une des interfaces globalement adressables, en reponse a une demande recue de la part d'un client.

| Type | Pub. Date | Kind | Text |
|---------------|-----------|------|--|
| Publication | 20010308 | A2 | Without international search report and to be republished upon receipt of that report. |
| Examination | 20010809 | | Request for preliminary examination prior to end of 19th month from priority date |
| Search Rpt | 20020221 | | Late publication of international search report |
| Republication | 20020221 | A3 | With international search report. |

Claims:

...security services, can guarantee message delivery, can be maintained for high-availability operation and provides audit trail logging. Therefore, the more mission critical the system, the more likely it is that a...allows dynamic messages to be sent/received

Automatic error logging for Tuxedo components (ULOG, tagent log)Application code can write to the ULOG with a Tuxedo API (error logging provided) Automatic...the transaction.Possible Product OptionsTuxedo; Encina; TOP END; CICS/6000; openUTM; TransIT Open/OLTPTransaction Partitioning 2608Transaction Partitioning Services provide support for mapping a single logical transaction in an application into the...warning messages. Logging Services record application and user activities in enough detail to satisfy any audit trail requirements or to assist the systems support team in recreating the sequence of events that... ...Logging must be done, however to mitigate problems, centralize logs and create a standard, usable log format. 3rd party logs should be mapped into the central format before any analysis is... ...

25/5K/9 (Item 4 from file: 349) [Links](#)

Fulltext available through: [Order File History](#)

PCT FULLTEXT

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00772919

AUTOMATIC WORK PROGRESS TRACKING AND OPTIMIZING ENGINE FOR A
TELECOMMUNICATIONS CUSTOMER CARE AND BILLING SYSTEM
MOTEUR DE SUIVI ET D'OPTIMISATION D'ACTIVITE AUTOMATIQUE POUR UN
SYSTEME DE SERVICE A LA CLIENTELE ET DE FACTURATION DE
TELECOMMUNICATIONS

Patent Applicant/Patent Assignee:

23. AMERICAN MANAGEMENT SYSTEMS INCORPORATED; 4050 Legato Road, Fairfax, VA 22033

US; US(Residence); US(Nationality)

(For all designated states except: US)

24. WOLFINGER Charles; Markgrastrasse 60, D-40545 Dusseldorf

DE; DE(Residence); US(Nationality)

(Designated only for: US)

25. SOTOLA Rene; 2357 Spotswood Place, Boulder, CO 80304

US; US(Residence); GB(Nationality)

(Designated only for: US)

Patent Applicant/Inventor:

26. WOLFINGER Charles

Markgrastrasse 60, D-40545 Dusseldorf; DE; DE(Residence); US(Nationality); (Designated only for: US)

27. SOTOLA Rene

2357 Spotswood Place, Boulder, CO 80304; US; US(Residence); GB(Nationality); (Designated only for: US)

Legal Representative:

28. BECKERS J Randall

Staas & Halsey LLP, Suite 500, 700 Eleventh Street, N.W., Washington, DC 20001; US;

| | Country | Number | Kind | Date |
|-------------|---------|-----------|------|----------|
| Patent | WO | 200106426 | A1 | 20010125 |
| Application | WO | 99US16442 | | 19990726 |
| Priorities | US | 99354084 | | 19990715 |

Designated States: (All protection types applied unless otherwise stated - for applications 2004+)

[EP] AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;

GR; IE; IT; LU; MC; NL; PT; SE;

[OA] BF; BJ; CF; CG; CI; CM; GA; GN; GW; ML;

MR; NE; SN; TD; TG;

[AP] GH; GM; KE; LS; MW; SD; SL; SZ; UG; ZW;

[EA] AM; AZ; BY; KG; KZ; MD; RU; TJ; TM;

Main International Patent Classes (Version 7):

| IPC | Level |
|-------------|-------|
| G06F-017/60 | Main |

Publication Language: English

Filing Language: English

Fulltext word count: 10662

English Abstract:

A system of work progress tracking and management in which customer orders may be received and entered into the system. Upon the entry of customer orders the system automatically schedules the orders for completion and optimizes the schedule based on several factors. These factors include work force utilization, customer priority, due date and task dependencies. Further, the system takes into consideration geographical constraints and automatically reschedules and re-optimizes the schedule when changes occur due to unforeseen events.

| Type | Pub. Date | Kind | Text |
|-------------|-----------|------|---|
| Publication | 20010125 | A1 | With international search report. |
| Examination | 20010222 | | Request for preliminary examination prior to end of 19th month from priority date |

Detailed Description:

...combine state of the art tools (an inference engine and a sophisticated scheduler) to provide online and offline optimization based on configurable criteria It is a further object of the present... ...orders based on the data gathered during the day (deltas of actuals and planned, new orders, and canceled orders) It is another object of the present invention to optimizes schedules based on multiple criteria... ...in utilization parameter occurs Thus, when the utilization parameter drops from 80% to 70% the distributed offline system 102 reschedules all current jobs to reflect the change in the workforce Page 6

It is an additional object...duration of time slots

It is a further object of the present invention to perform on- line scheduling of new and modified activities during the day as they occur

It is also... ...to "lock" tasks (either dependencies or delivery dates) so as to make internal schedule changes transparent 5 to the customer

It is still a further object of the present invention to produce highly optimized schedules... ...the physical architecture of the present invention with a client personal computer ("PC"), an application server (where scheduling, workflow, calendar functions take place), and a database server
Figure 4 is a diagram showing the overall software architecture Page 9

25/5K/11 (Item 6 from file: 349) [Links](#)Fulltext available through: [Order File History](#)

PCT FULLTEXT

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00743967

AUTOMATIC TRANSACTION CLEARING SYSTEM AND METHOD

SYSTEME ET PROCEDE DE COMPENSATION PAR TRANSACTION AUTOMATIQUE

Patent Applicant/Patent Assignee:

29. ECLEARING COM INC; 70 East Lake Street, Chicago, IL 60601
US; US(Residence); US(Nationality)
(For all designated states except: US)
30. STAHL Charles S Jr; 279 Oakton Court, Lisle, IL 60532
US; US(Residence); US(Nationality)
(Designated only for: US)
31. BOUCHARD Gary P; 1921 Banks Drive, Elgin, IL 60123
US; US(Residence); US(Nationality)
(Designated only for: US)
32. LICHTMAN Herbert R; Suite 1811, 151 North Michigan Avenue, Chicago, IL 60601
US; US(Residence); US(Nationality)
(Designated only for: US)
33. CLARK Michael R; Unit 202, 525 West Oakdale, Chicago, IL 60657
US; US(Residence); US(Nationality)
(Designated only for: US)

Patent Applicant/Inventor:

34. STAHL Charles S Jr
279 Oakton Court, Lisle, IL 60532; US; US(Residence); US(Nationality); (Designated only for: US)
35. BOUCHARD Gary P
1921 Banks Drive, Elgin, IL 60123; US; US(Residence); US(Nationality); (Designated only for: US)
36. LICHTMAN Herbert R
Suite 1811, 151 North Michigan Avenue, Chicago, IL 60601; US; US(Residence); US(Nationality); (Designated only for: US)
37. CLARK Michael R
Unit 202, 525 West Oakdale, Chicago, IL 60657; US; US(Residence); US(Nationality); (Designated only for: US)

Legal Representative:

38. POTTHAST James W
Potthast & Associates, 2712 North Ashland Avenue, Chicago, IL 60614; US;

| | Country | Number | Kind | Date |
|-------------|---------|------------|------|----------|
| Patent | WO | 200057337 | A1 | 20000928 |
| Application | WO | 2000US8284 | | 20000324 |
| Priorities | US | 99126204 | | 19990325 |

Designated States: (All protection types applied unless otherwise stated - for applications 2004+)

[EP] AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;
GR; IE; IT; LU; MC; NL; PT; SE;

[OA] BF; BJ; CF; CG; CI; CM; GA; GN; GW; ML;
MR; NE; SN; TD; TG;

[AP] GH; GM; KE; LS; MW; SD; SL; SZ; TZ; UG;
ZW;

[EA] AM; AZ; BY; KG; KZ; MD; RU; TJ; TM;

Main International Patent Classes (Version 7):

| IPC | Level |
|-------------|-------|
| G06F-017/60 | Main |

Publication Language: English

Filing Language: English

Fulltext word count: 30046

English Abstract:

An interactive automated transaction clearing system (10) having an automatic clearing operation (28) controlled by an automatic clearing operator (28) and including means for parties to register a proposed transaction (30, 32) for clearing, and automatically generating automatic payment directions (44) in accordance with the proposed transaction (30, 32) and an automatic funds controller (34) controlled by a party other than the automatic clearing operator (28). The automatic funds controller (34) includes means for receiving the funds of the parties, and for automatically making payments from funds in accordance with the automatic payment directions (44).

| Type | Pub. Date | Kind | Text |
|-------------|-----------|------|--|
| Publication | 20000928 | A1 | With international search report. |
| Publication | 20000928 | A1 | Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments. |
| Examination | 20010405 | | Request for preliminary examination prior to end of 19th month from priority date |

Claims:

...automatic funds controller to pay the
reseller the commission.

Seller markngr accepted the proposal transaction.PM ESTF*1 g. 9 CPossible Next Step... ..Options
Additional InformationRemember that your counterparty will have to approveyour request before the
transaction is canceled.Please provide a brief reason for requesting cancellation ofthis
transaction.Request cancellation (rqd)of... ..to see the status of funds.) eClearing has also instructed
you to use the eClearing web site to certify that the shipment has been made. Please certify shipment
only after the... ..automatic release of funds should be 6 calendar days. 3/3/99 12: 41: 00 Seller
markmgr accepted the proposal transaction.PM EST3/16/99 4: 52: 00 Full payment... ..interval
(rqdchangeRemember that your counterparty will have to approveyour request before the
transaction is cancelled

25/5K/13 (Item 8 from file: 349) [Links](#)

Fulltext available through: [Order File History](#)

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00733733

TARGETING AND PROFILING PARTICIPANTS IN A MODULAR SYSTEM AND
METHOD FOR PROCESSING TRANSACTIONS

CIBLAGE ET PROFILAGE DE PARTICIPANTS DANS UN SYSTEME MODULAIRE ET
PROCEDE PERMETTANT DE TRAITER DES TRANSACTIONS

Patent Applicant/Patent Assignee:

39. ONESoft CORPORATION; Suite 250, 7010 Little River Turnpike, Annandale, VA 22003-9998

US; US(Residence); US(Nationality)

Legal Representative:

40. MIRABITO Jason A(agent)

Mintz Levin Cohn Ferris Glovsky and Popeo PC, One Financial Center, Boston, MA 02111; US;

| | Country | Number | Kind | Date |
|-------------|---------|------------|------|----------|
| Patent | WO | 200046720 | A2 | 20000810 |
| Application | WO | 2000US2922 | | 20000203 |
| Priorities | US | 99118493 | | 19990203 |
| | US | 2000496902 | | 20000202 |

Designated States: (All protection types applied unless otherwise stated - for applications 2004+)

[EP] AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;
GR; IE; IT; LU; MC; NL; PT; SE;

[OA] BF; BJ; CF; CG; CI; CM; GA; GN; GW; ML;
MR; NE; SN; TD; TG;

[AP] GH; GM; KE; LS; MW; SD; SL; SZ; TZ; UG;
ZW;

[EA] AM; AZ; BY; KG; KZ; MD; RU; TJ; TM;

Main International Patent Classes (Version 7):

| IPC | Level |
|-------------|-------|
| G06F-017/60 | Main |

Publication Language: English

Filing Language: English

Fulltext word count: 15971

English Abstract:

French Abstract:

| Type | Pub. Date | Kind | Text |
|---------------|-----------|------|--|
| Publication | 20000810 | A2 | Without international search report and to be republished upon receipt of that report. |
| Examination | 20001109 | | Request for preliminary examination prior to end of 19th month from priority date |
| Declaration | 20020627 | | Late publication under Article 17.2a |
| Republication | 20020627 | A2 | With declaration under Article 17(2)(a); without abstract; title not checked by the International Searching Authority. |

Claims:

...holds an audit trail of ail actions that were performed in a session.

FIGe 7Internet Information System

25/5K/15 (Item 10 from file: 349) [Links](#)

Fulltext available through: [Order File History](#)

PCT FULLTEXT

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00488469

SYSTEMS, METHODS AND COMPUTER PROGRAM PRODUCTS FOR ELECTRONIC
TRADING OF FINANCIAL INSTRUMENTS

SYSTEMES, METHODES ET PROGRAMMES INFORMATIQUES DESTINES A LA
NEGOCIATION ELECTRONIQUE D'INSTRUMENTS FINANCIERS

Patent Applicant/Patent Assignee:

41. DERIVATIVES NET INC;

;;

42. MAY R Raymond;

;;

| | Country | Number | Kind | Date |
|-------------|---------|-----------|------|----------|
| Patent | WO | 9919821 | A1 | 19990422 |
| Application | WO | 98US21518 | | 19981013 |
| Priorities | US | 9762410 | | 19971014 |

Designated States: (All protection types applied unless otherwise stated - for applications 2004+)

Main International Patent Classes (Version 7):

| IPC | Level |
|-------------|-------|
| G06F-017/60 | Main |

Publication Language: English

Filing Language:

Fulltext word count: 34553

English Abstract:

An Internet-protocol based anonymous trading system which enables traders to identify bids and offers which they are eligible to trade based upon a color coded methodology which gives the trader credit preference information about the potential counterparty while still maintaining the anonymity of the potential counterparty. To that end, each bid or offer is prescreened against all possible counterparties' credit information in the system and each counterparty sees a unique color coded trading interface based upon their particular credit preference combinations and the others in the system. The system then shows all prices in the system, and the color-coding tells the trader which prices he is able to trade, and also shows him the full depth of the market, including those the trader is unable to trade.

Claims:

The confirmation process is substantially the same as that for interactive trades. The system 10 notifies the users of their fills. Finally, results will be made... ..to maintain control of their positions. As with the general auction, the positions of each trader are loaded into the system 10 utilizing a switch auction interface 460, as illustrated in... ..multiple transactions with multiple parties. Additional control buttons 474 enable the user to submit an order, cancel an order, cancel all orders, or change an order. The preprocessor gathers real-time data from outside data vendors (such as Reuter or Telerate) and from internal system sources... ..prepares the data for processing by the other components of the calserver. Section 4: Term negotiation This provides the users with adequate information to identify and/or record the transaction. The conformation, however, may be sent to the traders any number of ways such as via e-mail, voice-mail, United States Postal Service...

25/5K/16 (Item 11 from file: 349) [Links](#)

Fulltext available through: [Order File History](#)
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00488451

INTEGRATED CUSTOMER INTERFACE FOR WEB BASED COMMUNICATIONS
NETWORK MANAGEMENT
INTERFACE CLIENT INTEGREE POUR LA GESTION DE RESEAUX DE
COMMUNICATIONS BASES SUR LE WEB

Patent Applicant/Patent Assignee:

43. BARRY B Reilly;

;;

44. CHODORONEK Mark A;

;;

45. DEROSE Eric;

;;

46. GONZALES Mark N;

;;

47. JAMES Angela R;

;;

48. LEVY Lynne;

;;

49. TUSA Michael;

;;

| | Country | Number | Kind | Date |
|-------------|---------|-----------|------|----------|
| Patent | WO | 9919803 | A1 | 19990422 |
| Application | WO | 98US20173 | | 19980925 |
| Priorities | US | 9760655 | | 19970926 |

Designated States: (All protection types applied unless otherwise stated - for applications 2004+)

Main International Patent Classes (Version 7):

| IPC | Level |
|-------------|-------|
| G06F-013/00 | Main |
| G06F-017/30 | |

Publication Language: English

Filing Language:

Fulltext word count: 90769

English Abstract:

A web-based, integrated customer interface system (30) for enabling customer management of their communication network assets. A web-based GUI (20) enables a customer to interact with one or more network management resources and telecommunication services. The integrated interface system (30) includes: 1) a customer's network report management; 2) a centralized in-box system for online notifications to client workstation; 3) a real-time network services monitoring system; 4) broadband system for presenting physical and logical views of data networks and performance information; 5) a toll-free network management system enabling customization of 800/8xx toll free number routing; 6) Outbound Network Management (ONM); 7) packet-switched events monitoring; 8) a trouble ticket tool; 9) web-based invoice reporting for access to billing information; 10) web-based call manager; 11) on-line order entry and administrative service; 12) system for handling security and authentication.

Detailed Description:

...NMCI

Interact StarWRS reporting system 200.

Additionally, the ODS component 450 includes a Decision Support Server ("DSS") reporting engine component 475 that performs the following functions: 1) receives various customer report... ..data store; and, 3) responds to the requestor with a formatted result set. The DSS server 475 may also perform cost estimation, agent scheduling, SUBSTITUTE SHEET (RULE 26) PCTIUS98/20173 DSS 475 is a cluster of DEC (Digital Equipment Corp.) UNIX 8400 servers running Information Advantage@software accessing an Informix database, e.g., Informix Dynamic Server V 3. database product, distributed across multiple Data Marts.

In accordance with the invention, the primary function of the DSS...

^30/5K/1 (Item 1 from file: 348) [Links](#)

Fulltext available through: [Order File History](#)

EUROPEAN PATENTS

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01167824

Methods and apparatus for enabling shared web-based interaction in stateful servers

Verfahren und Vorrichtung zur geteilten web-basierten interaktionen in servers mit dynamischen Zuständen

Methodes et appareil pour faciliter l'interaction partagee dans serveurs aux etats dynamiques

Patent Assignee:

50. LUCENT TECHNOLOGIES INC.; (2143720)

600 Mountain Avenue; Murray Hill, New Jersey 07974-0636; (US)

(Applicant designated States: all)

Inventor:

51. Anupam, Vinod

67 Shields Lane; Bridgewater, New Jersey 08807; (US)

52. Gehani, Narain H.

25 Beverly Road; Summit, New Jersey 07901; (US)

53. Rodemann, Kenneth R.

1194 Evergreen Drive; Bridgewater, New Jersey 08807; (US)

54. Sriram, Musiri Srivathsan

54 Scott Avenue; Berkeley Heights, New Jersey 07922; (US)

Legal Representative:

55. Watts, Christopher Malcolm Kelway, Dr. et al (37391)

Lucent Technologies (UK) Ltd, 5 Mornington Road; Woodford Green Essex, IG8 0TU; (GB)

| | Country | Number | Kind | Date | |
|-------------|---------|----------|------|----------|---------|
| Patent | EP | 1018689 | A2 | 20000712 | (Basic) |
| | EP | 1018689 | A3 | 20010124 | |
| Application | EP | 99310379 | | 19991221 | |
| Priorities | US | 227522 | | 19990108 | |

Designated States:

DE; FR; GB;

Extended Designated States:

AL; LT; LV; MK; RO; SI;

International Patent Class (V7): G06F-017/30; G06F-017/30Abstract EP 1018689 A2

A method of interactively sharing information between at least two devices in a computer network, each device having a respective browser associated therewith for handling the information, includes retrieving information from an information source in the network for storage in response to receipt of a retrieval request from a first browser associated with a first device. The method further includes sending the stored information to at least a second browser of at least a second device in response to receipt of a similar request therefrom, the second device receiving the request from the first device, such that the devices can share the information retrieved from the information source in response to the single request made to the source. Preferably, a surrogate is established in at least the first device for informing the second device of the request made such that the browser of the second device can make the similar request. Also, the information available from the information source in the computer network may include dynamically changing (i.e., stateful) content.

Abstract Word Count: 171

NOTE: 3

NOTE: Figure number on first page: 3

| Type | Pub. Date | Kind | Text |
|----------------|-----------|------|--|
| Application: | 20000712 | A2 | Published application without search report |
| Search Report: | 20010124 | A3 | Separate publication of the search report |
| Examination: | 20010912 | A2 | Date of request for examination: 20010712 |
| Examination: | 20050713 | A2 | Date of dispatch of the first examination report: 20050527 |
| Change: | 20060301 | A2 | Title of invention (German) changed: 20060301 |
| Change: | 20060301 | A2 | Title of invention (English) changed: 20060301 |
| Change: | 20060301 | A2 | Title of invention (French) changed: 20060301 |

Publication: English

Procedural: English

Application: English

| Available Text | Language | Update | Word Count |
|---------------------------------------|-----------|--------|------------|
| CLAIMS A | (English) | 200028 | 581 |
| SPEC A | (English) | 200028 | 4983 |
| Total Word Count (Document A) 5564 | | | |
| Total Word Count (Document B) 0 | | | |
| Total Word Count (All Documents) 5564 | | | |

Specification: ...mentioned above are satisfied according to the invention. That is, by employing a gateway, the agent and customer could both view dynamically generated (i.e., stateful) content provided by server 408.

30/5K/2 (Item 1 from file: 349) [Links](#)

Fulltext available through: [Order File History](#)

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00762434

INTERNET PAYMENT SYSTEM

SYSTEME DE PAIEMENT SUR L'INTERNET

Patent Applicant/Patent Assignee:

56. INTELISHIELD COM INC; 10200 W. 44th Avenue, Suite 339, Wheat Ridge, CO 80033

US; US(Residence); US(Nationality)

(For all designated states except: US)

57. FLOYD Dennis R; 3265 Fenton Street, Denver, CO 80212

US; US(Residence); US(Nationality)

(Designated only for: US)

58. HEATON Timothy L; 10875 W. 77th Drive, Arvada, CO 80005

US; US(Residence); US(Nationality)

(Designated only for: US)

59. ANDERSON Stanley W; 8755 W. 80th Avenue, Arvada, CO 80005

US; US(Residence); US(Nationality)

(Designated only for: US)

60. ANDERSON Brian S; 8755 W. 80th Avenue, Arvada, CO 80005

US; US(Residence); US(Nationality)

(Designated only for: US)

Patent Applicant/Inventor:

61. FLOYD Dennis R

3265 Fenton Street, Denver, CO 80212; US; US(Residence); US(Nationality); (Designated only for: US)

62. HEATON Timothy L

10875 W. 77th Drive, Arvada, CO 80005; US; US(Residence); US(Nationality); (Designated only for: US)

63. ANDERSON Stanley W

8755 W. 80th Avenue, Arvada, CO 80005; US; US(Residence); US(Nationality); (Designated only for: US)

64. ANDERSON Brian S

8755 W. 80th Avenue, Arvada, CO 80005; US; US(Residence); US(Nationality); (Designated only for: US)

Legal Representative:

65. FOLEY & LARDNER

777 East Wisconsin Avenue, 33rd Floor, Milwaukee, WI 53202-5367; US;

| | Country | Number | Kind | Date |
|-------------|---------|-------------|------|----------|
| Patent | WO | 200075843 | A1 | 20001214 |
| Application | WO | 2000US15788 | | 20000608 |
| Priorities | US | 99328422 | | 19990609 |
| | US | 99471127 | | 19991223 |

Designated States: (All protection types applied unless otherwise stated - for applications 2004+)

[EP] AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;
GR; IE; IT; LU; MC; NL; PT; SE;[OA] BF; BJ; CF; CG; CI; CM; GA; GN; GW; ML;
MR; NE; SN; TD; TG;[AP] GH; GM; KE; LS; MW; MZ; SD; SL; SZ; TZ;
UG; ZW;

[EA] AM; AZ; BY; KG; KZ; MD; RU; TJ; TM;

Main International Patent Classes (Version 7):

| IPC | Level |
|-------------|-------|
| G06F-017/60 | Main |
| G06F-017/60 | Main |

Publication Language: English

Filing Language: English

Fulltext word count: 7745

English Abstract:

The present invention is a system and method for providing electronic commerce without providing a buyer's (102) credit card data over the Internet (402), or any other public network. Buyers (102) have a fear of providing their credit card data over the Internet (402). The present invention allows a buyer (102) to make a purchase with their credit card without providing their credit card data over the Internet (402). The present invention provides buyers (102) with a transaction identification number to make Internet purchases and the buyer (102) personally authorizes their purchases while they are on-line. The buyer's (102) actual credit card data is never transmitted over the Internet (402). The on-line affirmation of each purchase through the third party entity that provides the service described by this invention leads to a reduction of fraud.

| Type | Pub. Date | Kind | Text |
|-------------|-----------|------|--|
| Publication | 20001214 | A1 | With international search report. |
| Publication | 20001214 | A1 | Before the expiration of the time limit for amending the claims and to be republished in the event of receipt of |

| | | | |
|--|--|--|-------------|
| | | | amendments. |
|--|--|--|-------------|

Detailed Description:

...seller then informs buyer 204 whether the transaction has been approved or disapproved, line 214.

Current systems allow either seller to view buyer's 204 credit card data. The Internet seller, through interaction with buyer 204, also receives...

30/5K/4 (Item 3 from file: 349) [Links](#)

Fulltext available through: [Order File History](#)

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00734785

ELECTRONIC ACCOUNT PRESENTATION AND RESPONSE SYSTEM AND METHOD
PRESENTATION ELECTRONIQUE DE COMPTES ET SYSTEME ET PROCEDE DE REPONSE

Patent Applicant/Patent Assignee:

66. THE CHASE MANHATTAN BANK; 270 Park Avenue, 41st floor, New York, NY 10021
US; US(Residence); US(Nationality)

Legal Representative:

67. WEISBURD Steven I(et al)(agent)

Ostrolenk, Faber, Gerb & Soffen, LLP, 1180 Avenue of The Americas, New York, NY 10036;
US;

| | Country | Number | Kind | Date |
|-------------|---------|------------|------|----------|
| Patent | WO | 200048102 | A2 | 20000817 |
| Application | WO | 2000US2674 | | 20000202 |
| Priorities | US | 99248495 | | 19990210 |

Designated States: (All protection types applied unless otherwise stated - for applications 2004+)

[EP] AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;
GR; IE; IT; LU; MC; NL; PT; SE;

[OA] BF; BJ; CF; CG; CI; CM; GA; GN; GW; ML;
MR; NE; SN; TD; TG;

[AP] GH; GM; KE; LS; MW; SD; SL; SZ; TZ; UG;
ZW;

[EA] AM; AZ; BY; KG; KZ; MD; RU; TJ; TM;

Main International Patent Classes (Version 7):

| IPC | Level |
|-------------|-------|
| G06F-017/60 | Main |
| G06F-017/60 | Main |

Publication Language: English

Filing Language: English

Fulltext word count: 16174

English Abstract:

French Abstract:

| Type | Pub. Date | Kind | Text |
|---------------|-----------|------|--|
| Publication | 20000817 | A2 | Without international search report and to be republished upon receipt of that report. |
| Examination | 20001102 | | Request for preliminary examination prior to end of 19th month from priority date |
| Correction | 20020425 | | Corrected version of Pamphlet: |
| Republication | 20020425 | A2 | Without international search report and to be republished upon receipt of that report. |
| Correction | 20020425 | | Corrected version of Pamphlet: |
| Declaration | 20021003 | | Late publication under Article 17.2a |
| Republication | 20021003 | A2 | With declaration under Article 17(2)(a); without abstract; title not checked by the International Searching Authority. |

Detailed Description:

...service representatives (either from the IIP 20, a biller 5, or a biller's other agent) in order to.

view customer service inquiries; view a customer's bill; view and update enrollment data, view payment data; and create responses. The BAP 200 provides customer service representatives...

30/5K/6 (Item 5 from file: 349) [Links](#)

Fulltext available through: [Order File History](#)

PCT FULLTEXT

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00395510

INTEGRATED FINANCIAL INVESTMENT SERVICES INFORMATION SYSTEM
 SYSTEME INTEGRE POUR LE TRAITEMENT D'INFORMATIONS SUR DES SERVICES
 D'INVESTISSEMENTS FINANCIERS

Patent Applicant/Patent Assignee:

68. TACKLINE COMMUNICATIONS INC;

;;

| | Country | Number | Kind | Date |
|-------------|---------|----------|------|----------|
| Patent | WO | 9736253 | A1 | 19971002 |
| Application | WO | 97US4474 | | 19970320 |
| Priorities | US | 96634902 | | 19960328 |

Designated States: (All protection types applied unless otherwise stated - for applications 2004+)

Main International Patent Classes (Version 7):

| IPC | Level |
|-------------|-------|
| G06F-017/60 | Main |
| G06F-017/60 | Main |

Publication Language: English

Filing Language:

Fulltext word count: 24266

English Abstract:

A financial services information processing system (101) for use between a broker end user (104) and a content provider (105) on an interactive communication network (124) is provided. Data is communicated between the user (104) and the content provider (105) via the interactive communication network (124). The data includes an electronic application form (216) generated from financial instrument application data such as a mutual fund. Subsequently, the graphical user interface elements including the electronic application form (216) are displayed. Client application data is received as input by the user. This client application data is sent to the content provider (105). A notification is received from the content provider (105) when further information or correction is needed based on a comparison of the client application data to financial instrument application reference data. In addition, a financial services information system (101) which implements the method in a user apparatus alone and in a system having a content provider (105) and a host (102) is provided.

Detailed Description:

...s account and the content provider's system has updated the customer's accounts, the broker can then view the updated customer accounts by simply accessing the customer information list 172.

In an alternative preferred embodiment, several...

37/5K/1 (Item 1 from file: 349) [Links](#)

Fulltext available through: [Order File History](#)

PCT FULLTEXT

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00548214

A REAL-TIME COMPUTERIZED STOCK TRADING SYSTEM
SYSTEME INFORMATIQUE DE TRANSACTIONS BOURSIERES EN TEMPS REEL

Patent Applicant/Patent Assignee:

69. MARKETXT INC;
;;

| | Country | Number | Kind | Date |
|-------------|---------|-----------|------|----------|
| Patent | WO | 200011587 | A1 | 20000302 |
| Application | WO | 99US18767 | | 19990820 |
| Priorities | US | 9897414 | | 19980821 |

Designated States: (All protection types applied unless otherwise stated - for applications 2004+)

Main International Patent Classes (Version 7):

| IPC | Level |
|-------------|-------|
| G06F-017/60 | Main |

Publication Language: English

Filing Language:

Fulltext word count: 7341

English Abstract:

A method and system provide real-time, after-hours stock trading to both retail and institutional investors. The system acts as a hub connecting investors from numerous brokerage firms and delivers real-time, after-hours trading services to both retail and institutional investors. It matches buy and sell trade orders placed by different investors on the system, thereby allowing both retail and institutional investors to execute trades with each other either before, during or after-hours. Consistent with the present invention, when the trading system's matching engine determines that a buy order and a sell order from different investors match, it executes and processes the trade. In one implementation, the system's market information is published in real-time on the Internet and is viewable by investors and the general public.

Detailed Description:

...software component that forwards the order information to the trading system 28 across a private network 26 (step 210). If the trade order is not approved by the BD...

40/5/2 (Item 2 from file: 349) [Links](#)

Fulltext available through: [Order File History](#)

PCT FULLTEXT

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00886064

METHOD AND SYSTEM FOR PROVIDING FINANCIAL FUNCTIONS

PROCEDE ET SYSTEME POUR ASSURER DES FONCTIONS FINANCIERES

Patent Applicant/Patent Assignee:

70. TRADERISKS INC; 9 East Loockerman Street, Dover, DE 19901

US; US(Residence); US(Nationality)

(For all designated states except: US)

71. PILATO Alejandro M; 8 Delahay House, 15 Chelsea Embankment, London SW3 4LA

GB; GB(Residence); GB(Nationality)

(Designated only for: US)

Patent Applicant/Inventor:

72. PILATO Alejandro M

8 Delahay House, 15 Chelsea Embankment, London SW3 4LA; GB; GB(Residence);

GB(Nationality); (Designated only for: US)

Legal Representative:

73. HAYNES Michael N(agent)

1341 Huntersfield Close, Keswick, VA 22947; US;

| | Country | Number | Kind | Date |
|-------------|---------|-------------|------|----------|
| Patent | WO | 200219173 | A1 | 20020307 |
| Application | WO | 2001US27038 | | 20010830 |
| Priorities | US | 2000650733 | | 20000830 |

Designated States: (All protection types applied unless otherwise stated - for applications 2004+)

[EP] AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;
GR; IE; IT; LU; MC; NL; PT; SE; TR;[OA] BF; BJ; CF; CG; CI; CM; GA; GN; GQ; GW;
ML; MR; NE; SN; TD; TG;[AP] GH; GM; KE; LS; MW; MZ; SD; SL; SZ; TZ;
UG; ZW;

[EA] AM; AZ; BY; KG; KZ; MD; RU; TJ; TM;

Main International Patent Classes (Version 7):

| IPC | Level |
|-------------|-------|
| G06F-017/30 | Main |

Publication Language: English

Filing Language: English

Fulltext word count: 22292

English Abstract:

A method is disclosed for providing financial functions by an agent for each of a plurality of clients. One embodiment includes, relating to a financial function of each client, demonstrating that more than one activity of the agent and of one or more subagents can be transparent to the client, receiving financial information at the agent, creating risk management information relating to the financial information, analyzing the risk management information in the context of the financial information, determining an action based on the analysis, facilitating implementation of an action on behalf of the client, and communicating with the client one or more activities of the agent and the one or more subagents.

| Type | Pub. Date | Kind | Text |
|-------------|-----------|------|--|
| Publication | 20020307 | A1 | With international search report. |
| Publication | 20020307 | A1 | Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments. |
| Examination | 20020510 | | Request for preliminary examination prior to end of 19th month from priority date |

~~Non- Patent Literature Abstracts

[File 2] INSPEC 1898-2008/Feb W4
(c) 2008 Institution of Electrical Engineers. All rights reserved.

[File 35] Dissertation Abs Online 1861-2008/Nov
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[File 65] Inside Conferences 1993-2008/Mar 18
(c) 2008 BLDSC all rts. reserv. All rights reserved.

[File 99] Wilson Appl. Sci & Tech Abs 1983-2008/Jan
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[File 474] New York Times Abs 1969-2008/Mar 22
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[File 256] TecInfoSource 82-2008/Jul
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[File 475] Wall Street Journal Abs 1973-2008/Mar 24
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[File 583] Gale Group Globalbase(TM) 1986-2002/Dec 13
(c) 2002 The Gale Group. All rights reserved.
**File 583: This file is no longer updating as of 12-13-2002.*

[File 139] EconLit 1969-2008/Feb
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[File 485] Accounting & Tax DB 1971-2008/Mar W2
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; d s
Set      Items      Description
S1        61798      S (CLIENT? OR INDIVIDUAL OR INVESTOR? OR
SHOPPER? OR PURCHASER? OR BUYER? OR CUSTOMER? OR CONSUMER? OR
PERSON OR MEMBER? ? OR SUBSCRIBER? ?) (5N) (TRACK??? OR
MONITOR??? OR MONITORABLE OR OBSERV??? OR WATCH??? OR LOOK??? OR
VIEW??? OR SUPERVIS??? OR TRANSPARENT)
S2         7464      S AGENT? ? OR BROKER? ? OR TRADER? ? OR
STOCKBROKER? ? OR SELLER? ?
S3         22797      S DYNAMIC? OR CURRENT? OR IMMEDIAT? OR INSTANT?
OR INTERACTIV?? OR LIVE OR ON(1W)FLY OR REAL()TIME OR REALTIME
OR SIMULTANEOUS? OR UP(1W)DATE OR UP(2W)MINUTE OR UPDATE?
S4         1719      S (TRANSACTION? ? OR AUDIT OR LOG OR ORDER? ? OR
ACTION? ? OR EVENT) (2N) (LOG OR LOGS OR LOGGED OR TRAIL? ? OR
FILE? ? OR RECORD??? OR JOURNAL? ?) OR LOGFILE? ?
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S5          997      S (HALT??? OR END??? OR TERMINAT??? OR
DISCONTINU??? OR INTERRUPT??? OR SUSPEND??? OR STOP? ? OR
STOPPING OR ABORT??? OR CANCEL???) (3N) (EXECUT??? OR PERFORM???
OR ACTION? ? OR ACTIVAT??? OR IMPLEMENT??? OR INITIALI??? OR
TRADING OR TRADE? ? OR ORDER??? OR BID OR BIDDING OR SELLING OR
ACTIVITIES OR TRANSACTION? ?)
S6          18951    S INTERNET OR INTRANET OR WAN OR LAN OR NETWORK?
? OR SERVER? ? OR ONLINE OR ON()LINE OR ELECTRONIC? OR WEB OR
WEBSITE? OR WEBPAGE? OR REMOTE?? OR DISTRIBUTED
S7           3       S AU=(PILATO, A? OR PILATO A? OR PILATO (1N) (A
OR ALEJANDRO))
S8           974     S S1 (10N) S2
S9           436     S S8 AND S3
S10          31      S S9 AND S4
S11          31      S S10 AND S5
S12          15      S S11 NOT PY>2000
S13          7464    S S1 AND S2
S14          4887    S S13 AND S3
S15          450     S S14 AND S4
S16          63      S S15 AND S5
S17          52      S S16 AND S6
S18          51      S S17 NOT S12
S19          49      RD (unique items)
S20          34      S S19 NOT PY>2000
S21          115     S S1 (5N) S2 (5N) S6
S22          32870   S ASSET? ? OR STOCK? ? OR FUTURE? ? OR OPTION? ?
OR BOND? ? OR MUTUAL()FUND? ? OR SECURIT??? OR REAL()ESTATE OR
INVESTMENT? ? OR COMMODIT??? OR EQUIT??? OR
FINANCIAL()INSTRUMENT? OR CASH()EQUIVALENT? ? OR PORTFOLIO? ? OR
HEDGE? ? OR HEDGING OR RISK OR DEBT OR FINANCIAL
S23          59      S S21 AND S22
S24          59      RD (unique items)
S25          59      S S24 NOT (S12 OR S20)
S26          27      S S25 NOT PY>2000
S27          54      S S1 (3N) S2 (3N) S3
S28          27      S S27 NOT PY>2000
S29          27      RD (unique items)
S30          27      S S29 NOT (S12 OR S20 OR S26)

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12/5/13 (Item 13 from file: 485) [Links](#)

Accounting & Tax DB

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** FULL-TEXT AVAILABLE IN FORMATS 7 AND 9 **

00466918

Progress in programs: The annual software review

Anonymous

Trusts & Estates v133 n6 pp: 10-48+ Jun 1994

ISSN: 0041-3682 Journal Code: TRE

Document Type: Journal article

Language: English CODEN: DCAC

Word Count: 12785 Line Count: 1,162

Abstract:

Trusts & Estates' 8th annual listing of the most current software available to the trust and estate industry is presented. The A.Plus.Tax Fiduciary Bridge from Arthur Andersen & Co. provides an efficient and cost-effective way to help automate the preparation of fiduciary tax returns. Attorneys can now easily automate the production of wills, trusts, and other documents with WordPerfect for Lawyers from Adams-Hall Publishing. ATX Trust and Estate from ATX Forms Inc. combines the 706, 709, 1041A, and 5227 into a single tax program. TrustProcessor from BancCorp Systems Inc. is a general ledger-based trust accounting system which has more than 350 users nationwide. ParaGon from Blackbaud Inc. is the most advanced software for calculating and managing charitable trusts. BONDTRAC FINANCIAL from Bondtrac Inc. is a completely unique municipal bond information system that allows trust advisors to quickly and efficiently locate municipal bonds on a personal computer.

Company Names:

Arthur Andersen & Co

ATX Forms

Blackbaud Inc

Cascade Technologies Inc

Cold River Software

Geographic Names: US

Descriptors: Software reviews; Software packages; Estate planning; Trusts; Manycompanies ;
Manyproducts

20/5/10 (Item 10 from file: 485) [Links](#)

Accounting & Tax DB

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** FULL-TEXT AVAILABLE IN FORMATS 7 AND 9 **

00621486

Records retention: Producing value from compliance

Brooks, Paul K

ABA Bank Compliance v18 n5 pp: 42-50+ May/Jun 1997

ISSN: 0887-0187 Journal Code: BCP

Document Type: Journal article

Language: English Special Feature: Charts CODEN: DCAC

Word Count: 5802 Line Count: 527

Abstract:

For banks, compliance with records retention requirements is a formidable challenge because the requirements are as diverse as virtually every activity in which the bank is involved. The Equal Credit Opportunity Act establishes retention periods that depend on whether the transaction involves consumer or business credit. Banks must retain records for applications, notices of action taken, and similar types of records. Securities and Exchange Commission regulations prescribe recordkeeping requirements for brokers and dealers in connection with the conduct of their businesses. A broker-dealer must retain copies of every confirmation of the purchase or sales of securities; every notice of debits or credits for securities, cash, and other items; and memoranda of all brokerage orders, whether or not executed. The Economic Growth and Regulatory Paperwork Reduction Act of 1996 seeks to reduce a number of the reporting, disclosure, and retention requirements arising from a variety of banking activities and internal affairs.

Geographic Names: US

Descriptors: Records retention; Bank compliance; Banking law; Regulation of financial institutions

20/5/11 (Item 11 from file: 485) [Links](#)

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** FULL-TEXT AVAILABLE IN FORMATS 7 AND 9 **

00596304

Getting technical

Anonymous

Charter v67 n9 pp: 62-64 Oct 1996

Journal Code: ACHA

Document Type: Journal article

Language: English CODEN: DCAC

Word Count: 1866 Line Count: 170

Abstract:

The Australian Stock Exchange (ASX) recently introduced the Clearing House Electronic Subregister System (CHESS) for recording investment holdings, which has important implications for auditors involved in clients with significant investment holdings. The CHESS system applies to all companies which have their securities listed on the ASX. Meanwhile, following the issue of the new APS 9, Statement on Compilation of Financial Reports, now is a good time to consider the issue of the extent to which an auditor can be involved in the preparation of the accounts under professional standards. In addition, the Institute of Chartered Accountants in Australia's policy on bank audit certificates can be found in AGS 1002, Bank Confirmation Requests. Bank confirmations assist auditors in obtaining sufficient appropriate audit evidence in relation to the existence, completeness and valuation of monetary assets and liabilities.

Company Names:

Australian Stock Exchange Ltd

Institute of Chartered Accountants in Australia

Geographic Names: Australia

Descriptors: Stock exchanges; Registration; Financial institutions; Audits; Certificates ; Financial statements; Professional standards

20/5/19 (Item 19 from file: 485) [Links](#)

Accounting & Tax DB

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**** FULL-TEXT AVAILABLE IN FORMATS 7 AND 9 ****

00523448

What's new with old apps?

Cohn, Michael

Accounting Technology v11 n5 pp: 66-87 Jun 1995

ISSN: 0883-1866 Journal Code: CIA

Document Type: Journal article

Language: English CODEN: DCAC

Word Count: 8801 Line Count: 800

Abstract:

Relatively new technologies, such as Microsoft Windows, electronic data interchange, electronic payment transfers, client/server computing, and workflow organization, are changing the face of accounts

receivable (AR) and accounts payable (AP) software. Products from 37 vendors are discussed, based on their AR and AP capabilities, including: 1.

Abacus Systems' Abacus II, 2. Best!Ware's M.Y.O.B. (Manage Your Own Business), 3. Champion Business Systems' Champion Controller, 4. Collier-Jackson's VisionShift Accounting, 5. Computer Associates' CA-Accpac/2000, 6. Dun & Bradstreet Software's SmartStream Financials, 7. Hyperion Software's Hyperion Financials, 8. Intuit's QuickBooks 3.0 for Windows, 9. Libra Corp.'s Signature, and 10. Macola Software's Progression Series.

Company Names:

Macola Inc

LIBRA Corp

Intuit

Data Pro Systems Inc

Dun & Bradstreet Software

Geographic Names: US

Descriptors: Automated accounting systems; Manycompanies; Manyproducts; Accounts receivable; Accounts payable; Computer upgrading

20/5/25 (Item 25 from file: 485) [Links](#)

Accounting & Tax DB

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** FULL-TEXT AVAILABLE IN FORMATS 7 AND 9 **

00477264

Great Plains accounting software

Barth, Claire

Management Accounting v76 n2 pp: 62-63 Aug 1994

ISSN: 0025-1690 Journal Code: NAA

Document Type: Journal article

Language: English CODEN: DCAC

Word Count: 1113 Line Count: 101

Abstract:

Great Plains released version 7 of its Accounting for DOS in early 1993.

To make the product even stronger, a version 7.1 update for DOS started shipping in May 1994. Refinements include: 1. streamlined usability, 2. enhanced performance, and 3. increased functionality. The

general ledger was vastly improved in version 6, and with version 7,

Great
Plains added the ability to close to multiple earnings accounts.
Tracking
sales by salesperson for multiple salespeople by month and year-to-
date was
added to accounts receivable, allowing a commission on a single
transaction
to be split among as many as 5 salespeople and 5 managers.

Company Names:
Great Plains Software Inc
Geographic Names: US
Descriptors: Software reviews; Automated accounting systems; Functions

20/5/26 (Item 26 from file: 485) [Links](#)
Accounting & Tax DB
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** FULL-TEXT AVAILABLE IN FORMATS 7 AND 9 **
00467634
Navigating the choices

Cohn, Michael
Accounting Technology v10 n4 pp: 10-24 Apr/May 1994
ISSN: 0883-1866 Journal Code: CIA
Document Type: Journal article
Language: English CODEN: DCAC
Word Count: 8645 Line Count: 786

Abstract:

Choosing a write-up or general ledger system often boils down to an individual decision based on an accounting firm's budget, preference, and needs. Write-up products offer certain advantages when adding books for new clients, and they frequently provide pre-defined charts of accounts for this purpose. However, more and more general ledger products offer this functionality, too. Write-up systems, on the other hand, facilitate after-the-fact payroll and permit one to correct journal entries and audit trails without much difficulty. Nevertheless, some believe that there is a diminishing role for write-up in CPA firms, although software vendors are not yet willing to abandon this field. In fact, it has been predicted that more accountants will be migrating to

Windows write-up as the marketplace buys faster hardware. Among the vendors offering prominent write-up packages are E.F. Haskell Software, Peachtree Software, DacEasy, M-USA, NEBS Software Inc., Intuit, Tax and Accountancy Software Corp. (TAASC), PC Software Accounting, Creative Solutions, Versatile Group Inc., the American Institute of Certified Public Accountants (AICPA), and UniLink.

Geographic Names: US

Descriptors: Automated accounting systems; Software packages; Manycompanies; Manypromoducts; Characteristics

26/5/3 (Item 3 from file: 2) [Links](#)

Fulltext available through: [STIC Full Text Retrieval Options](#)
INSPEC

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07557001

Title: Will equality in the IPO market make the IPO 'pop' fizzle?

Author Massaro, K.

Journal: Wall Street & Technology vol.18, no.3 p. 20-2, 24

Publisher: CMP Media Inc ,

Publication Date: March 2000 Country of Publication: USA

CODEN: WSTEE5 ISSN: 1060-989X

SICI: 1060-989X(200003)18:3L:20;WEMM;1-Z

Material Identity Number: P708-2000-004

Language: English Document Type: Journal Paper (JP)

Treatment: Practical (P)

Abstract: If you're looking to make a quick buck, you'd better get in on the IPO market fast, as the days of that sweet IPO pop could be numbered. Or so say a few representatives from online investment banks who are doing the best they can to alter the process of pricing initial public offerings. Despite efforts to use technology to make the IPO process more equitable, online brokers and banks have thus far failed. The investor base is looking to them to take charge and help create a more equitable process, where the growing individual investor base can get access to IPOs, where deals are priced more accurately according to demand, and where the same rules apply to all investors. Much of this can be done through the use of technology and by lead managing deals. And FBR.com and the new investment bank being created by Charles Schwab, Ameritrade and TD Waterhouse are moving ahead in high gear to change the landscape. (0 Refs)

Subfile: D

Descriptors: investment

Identifiers: initial public offering; IPO market; FBR.com; investment bank; Charles Schwab; Ameritrade; TD Waterhouse

Class Codes: D2050F (Financial markets)

Copyright 2000, IEE

26/5/4 (Item 4 from file: 2) [Links](#)

Fulltext available through: [STIC Full Text Retrieval Options](#)
INSPEC

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06667075 INSPEC Abstract Number: C9710-7120-001

Title: Evaluating and choosing an online broker

Author Pack, T.

Journal: Database vol.20, no.4 p. 64-5

Publisher: Online Inc ,

Publication Date: Aug.-Sept. 1997 Country of Publication: USA

CODEN: DTBSDQ ISSN: 0162-4105

SICI: 0162-4105(199708/09)20:4L:64:ECOB;1-0

Material Identity Number: D059-97004

U.S. Copyright Clearance Center Code: 0162-4105/97/\$2.00+00.15

Language: English Document Type: Journal Paper (JP)

Treatment: Practical (P); Product Review (R)

Abstract: Investors have opened about 1.5 million accounts with online brokerage firms. Because of the boom in cyberspace investing, many discount brokers have opened World Wide Web-based businesses and some of even the most staid firms are exploring the benefits of joining the digital revolution. If you're looking for a broker, advising clients on finding a broker or doing competitive intelligence on competing brokers , you can benefit from the guide to both online and traditional brokers' Web pages available at Yahoo! You also may want to visit the Investment Brokerages Guide, which provides an overview of the brokerage industry and compares the services and commission rates of more than a hundred brokers in the USA, Canada, Europe and Asia. For a quick, customized comparison of US commissions, try Robert's Online Commissions Pricer. Of course, no one should select a broker solely on the basis of commission. You also should find out what types of orders can be placed, what types of investment vehicles are available, and how fast the broker will make your trades. To give you an idea of what it's like to trade on the Web, many brokers offer demonstrations of their systems through their sites. (0 Refs)

Subfile: C

Descriptors: electronic trading; Internet; investment

Identifiers: online broker evaluation; online brokerage firms; cyberspace investing; discount brokers; World Wide Web-based businesses; competitive intelligence ; Yahoo!; Investment Brokerages Guide; US commissions; Robert's Online Commissions Pricer; electronic trading
Class Codes: C7120 (Financial computing); C6150N (Distributed systems software); C7210 (Information services and centres)

Copyright 1997, IEE

26/5/6 (Item 6 from file: 2) [Links](#)

Fulltext available through: [STIC Full Text Retrieval Options](#)
INSPEC

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03117685 INSPEC Abstract Number: D83000910

Title: German catalogue tests videotex (Bildschirmtext) waters

Author Troester, J.F.

Author Affiliation: Universal Kommunikations GmbH, Frankfurt, West Germany

Journal: Direct Marketing vol.46, no.4 p. 80-2, 84, 86-8, 90

Publication Date: Aug. 1983 Country of Publication: USA

CODEN: DIMADI ISSN: 0012-3188

Language: English Document Type: Journal Paper (JP)

Treatment: Practical (P)

Abstract: Quelle, a German mail order cataloguer, along with a number of firms, is testing the Bildschirmtext system, seeing what works and what doesn't. One common finding of advertisers on the system is that consumers want information quickly, without being led through a garden of extraneous information. One of the most recent developments is an on-line program where an agent or consumer can dial a certain page, and is then switched from the post office's computer, e.g. in Berlin, to the Quelle computer in Nuremberg, called the gateway. The agent or consumer is then able to look into the program and get the exact on-line information, e.g. what's in stock and what's not. (0 Refs)

Subfile: D

Descriptors: advertising; viewdata

Identifiers: videotex; Quelle; German mail order cataloguer; Bildschirmtext; advertisers

Class Codes: D2080 (Information services and database systems); D2140 (Marketing, retailing and distribution); D4090 (Viewdata and teletext)

26/5/8 (Item 1 from file: 474) [Links](#)

New York Times Abs

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07401391 NYT Sequence Number: 779083960206

NEW VENTURE PLANS SYSTEM ON INTERNET FOR TRAVELERS

New York Times , Col. 5 , Pg. 1 , Sec. D

Tuesday February 6 1996

Document Type: Newspaper Journal Code: NYT Language: English Record Type: Abstract

Abstract:

John L Williams Jr resigns as general manager of American Express Consumer Travel Network, to become president and chief executive of Middlegate Inc, new start-up venture that plans to develop an Internet-oriented travel system to compete against conventional travel agents; new company believes Internet with 'intelligent agent' software and technology can accommodate personal preferences of users; Williams says customers are 'looking for greater control over the transactions themselves'; notes that there are tremendous distribution costs in traditional travel reservation business, making it vulnerable to lower-cost competition; new venture has financial backing of Accel Partners, New Enterprise Associates and Hummer Winblad Venture Partners; it is also backed by Intel Corp and News Corp (M)

Company Names: Accel Partners; New Enterprise Associates; Hummer Winblad Venture Partners; Intel Corp; News Corp; Williams, John L Jr; Middlegate Inc

Descriptors: Travel Agencies and Agents; Electronic Information Systems; Suspensions, Dismissals and Resignations

26/5/9 (Item 1 from file: 256) [Links](#)
TecInfoSource
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00157400 Document Type: Review

Product Names: Enterprise Threat Shield (ETS) (251214)

Title: Enterprise Threat Shield 3.0
Author: Weil, Steven
Source: Information Security , v8 n11 p72(1) Nov 2005
ISSN: 1096-8903
Homepage: <http://www.infosecuritymag.com>

File Segment: Review
Record Type: Review
Grade: B

SurfControl's Enterprise Threat Shield (ETS) 3.0 anti-spyware device offers protection for clients against malicious applications, while it monitors and limits user Web activity. ETS uses agent technology for the monitoring of Windows clients, but focuses on systems logged into the network. If the device is rebooted away from the network, however, offline protection is not available. The agent is loaded directly into memory by the ETS server when the unit is booted on the network. The agent runs in stealth mode and remains active in memory if a network connection is lost, but disappears once the user shuts down. This translates to obviating the need for management of yet another piece of client software, and as soon as users log back in, machines are monitored and scanned. Detection of malicious applications is performed by comparisons against ETS's database of spyware, games, and P2P and IM applications. In testing, ETS server installation on a Windows 2003 Server was user-friendly due to straightforward documentation and the interface's good design. In spite of the lack of offline policy enforcement and a few other small issues, the ETS device is a strong choice for managers who are concerned with stopping malware and potentially dangerous user activity.

Company Name: SurfControl plc (611051)
Descriptors: Computer Security; Internet Content Filters; Spyware
Revision Date: 20080300

26/5/10 (Item 2 from file: 256) [Links](#)
TecInfoSource
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00154377 Document Type: Review

Product Names: SOA (Service Oriented Architecture) (805921)

Title: Convergence Up Close
Author: Henschen, Doug
Source: Intelligent Enterprise , v8 n1 p29(6) Jan 2005
ISSN: 1524-3621
Homepage: <http://www.intelligententerprise.com>

File Segment: Review

Record Type: Product Analysis

eXtensible Markup Language (XML), Web services, and service-oriented architecture (SOA) are important technologies used in described, real-world business process management (BPM), text mining, and enterprise information integration (EII) implementations. For instance, ANICO changed its customer report process with call center automation that provides a total view of a customer to the customer service representatives and Web self-help applications. When an independent agent or insurance customer calls, the process can gain access to multiple back-end systems to pop up all relevant customer information on a clipboard. Processes are also related to customer status levels so that the most generating the most business get special handling. At Hasbro, BPM automated supply chain processes. Content is still in the process, but is used for exceptions, not for every transaction. Text mining was used by NASD to monitor member activity and to ensure compliance with rules governing much of the financial securities industry. With text-mining software from ClearForest, NASD's SONAR application analyzes trade data and news announcements, SEC filings, and other text documents. EDS also uses ClearForest as a component of the EDS Bank of Knowledge purchasing application, which interprets all content in thousands of active supply contracts. Companies are advised to bridge their systems and close disconnects, and to jettison human interaction. Piles of information should not have to be read, and integration time and costs can be reduced with EII.

Company Name: TecTerms (999999)

Special Feature: Tables

Descriptors: Business Process Management; Supply Chain Management; Web Services; XML

Revision Date: 20070300

26/5/11 (Item 1 from file: 475) [Links](#)

Wall Street Journal Abs

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08013482 NYT Sequence Number: 000000990304

FOR FRAZZLED ONLINE BROKERS, TECHNOLOGY IS THE PROBLEM
THURM, SCOTT

Wall Street Journal , Col. 3 , Pg. 6 , Sec. B

Thursday March 4 1999

Document Type: Newspaper Journal Code: WSJ Language: English Record Type: Abstract

Abstract:

Unrelenting growth has made online brokers the guinea pigs of the Internet age, pushing the limits of computer systems and software into uncharted territory; the challenge is to track investor portfolios and execute thousands of stock trades simultaneously while offering continuously updated news, stock quotes and chat; chart (M)

Special Features: Chart

Descriptors: INTERNET AND WORLD WIDE WEB; STOCKS AND BONDS; BROKERS AND BROKERAGE FIRMS; COMPUTERS AND INFORMATION SYSTEMS

Personal Names: THURM, SCOTT

26/5/15 (Item 3 from file: 583) [Links](#)

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03490010

FAME TO PRODUCE SOFTWARE FOR STANDARD LIFE

UK - FAME TO PRODUCE SOFTWARE FOR STANDARD LIFE

Scotsman (SN) 23 May 1990 p18

Standard Life has ordered a GBP1.5 bil software package from Fame (UK), computer firm, to help its tied agent network to work out the needs of its customers and to monitor the work of its agents. Halifax and the Bank of Scotland, both involved with Standard Life, might not use the software as they have their own system.

Product: Life Assurance (6310); Computer Software (7372); Financial Software (7372FS);

CAD/CAM Mechanical Software (COSW);

Event: CONTRACTS & ORDERS (61);

Country: United Kingdom (4UK); OECD Europe (415); NATO Countries (420); South East Asia Treaty Organisation (913);

26/5/22 (Item 7 from file: 485) [Links](#)

Accounting & Tax DB

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** FULL-TEXT AVAILABLE IN FORMATS 7 AND 9 **

00714008

Brave new Web: Using the Internet to forge high-tech, long-distance relationships with clients

Jovin, Ellen

Financial Planning pp: 108-112 Apr 1, 1999

ISSN: 0746-7915 Journal Code: FPN

Document Type: Journal article

Language: English CODEN: DCAC

Word Count: 2768 Line Count: 252

Abstract:

Through the use of the Internet, financial planners have the potential of creating high-tech, long-distance relationships with their clients. Planners can be almost perpetually available via the Internet medium. The Internet also serves as a powerful educational tool the planner can deploy from a distance to answer questions and keep the client informed. With a non-US citizen, a planner needs to understand the tax treaty between the client's native country and the US. Planning professionals may encounter different business philosophies and ethical approaches once they cross national borders. Specializing in the problems of one country or a small group of countries is one approach to this problem. Keats, Connelly & Associates in Phoenix specializes in cross-border issues between

Canada and the US.

Geographic Names: US

Descriptors: Financial planners; Internet; Financial planning; Client relationships

30/5/8 (Item 8 from file: 2) [Links](#)

Fulltext available through: [STIC Full Text Retrieval Options](#)
INSPEC

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04618133 INSPEC Abstract Number: D90001292

Title: What's new in boosting broker productivity?

Author Koflowitz, L.

Journal: Wall Street Computer Review vol.7, no.5 p. 20-33, 71

Publication Date: Feb. 1990 Country of Publication: USA

CODEN: WSCRDQ ISSN: 0738-4343

Language: English Document Type: Journal Paper (JP)

Treatment: Practical (P)

Abstract: Wary investors and increased business competition are turning the heat on stockbrokers to find effective new ways of boosting sales. Brokers can be assisted greatly in their efforts to increase productivity by the computer technologies now available. Many software systems are available to help brokers maintain close contact and timely follow-up with current clients, prospect for new clients and monitor their clients' portfolios. Broker automation can be accomplished with the use of computer systems that incorporate client management, prospecting and telemarketing functions. The number of packages in the market is very large, and this report aims at giving the reader a flavor of the kinds of programs that are available and how brokers in the field are using them to increase their business. (0 Refs)

Subfile: D

Descriptors: investment; stock markets

Identifiers: investors; stockbrokers; productivity; computer technologies; software systems; client management; prospecting; telemarketing; packages

Class Codes: D2050F (Financial markets)

30/5/9 (Item 1 from file: 35) [Links](#)

Dissertation Abs Online

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01772184 ORDER NO: AADAA-I9982132

Electronic commerce: A study to develop a general model for the cyber-mediaries during the electronic commerce age

Author: Alghafli, Saeed Abdulla

Degree: D.M.

Year: 2000

Corporate Source/Institution: Colorado Technical University (1271)

Chair: Robert G. Stein

Source: Volume 6108A of Dissertations Abstracts International.

PAGE 3246 . 244 PAGES

Descriptors: BUSINESS ADMINISTRATION, MANAGEMENT ; INFORMATION SCIENCE

Descriptor Codes: 0454; 0723

ISBN: 0-599-88535-1

The purpose of the study was to develop a general model for cybermediaries to assess and identify potential success in electronic commerce age. It was believed that this model would contain the roles, responsibilities, and characteristics of successful cybermediaries in today's highly competitive global marketplace. Specifically, the research focused on the examination and analysis of cybermediaries such as Yahoo (search engine), Excite (search engine), Amazon.com (bookstore), Autobytel.com (auto dealer), and Priceline.com (airlines, hotel, and car rental). The objective was to determine the advantages and disadvantages of each, the method and approach used to generate revenue, and the complexity of the system that is required to be successful.

Cornerstone's Business Model to assess success factors of cybermediaries was synthesized from the literature. Researchers agreed with the characteristics, identification, concepts, and strategies of new business models and processes. Those that survive have been able to interrelate employees, customers, prospects, contractors, distributors, suppliers, government, and industry on the Internet side. They coordinate and interrelate corporate data, e-mail, orders, customer data, and inventory. The cornerstones of the model consist of cybermediary roles, characteristics, responsibilities, customer service systems, and intelligent interactivity systems. These represented the major variables of the study and related directly to the research questions.

From the results of the study it was determined that the roles of today's successful cybermediary must not be limited to assistance only in the area of information retrieval. Also cybermediaries must become heavily involved in technology development to improve efficiency of information markets, provide new technologies, and become the new knowledge brokers. They are responsible for providing validation and technology services, improving efficiency of information distribution, providing adequate information to support queries for specific decision making purposes, and supplying needed access, software support, servers, and promotional opportunities. With respect to characteristics, successful cybermediaries anticipate customer needs, focus on format and content of the site rather than the product itself, selectively route information from providers to consumers, and provide as much relevant information as possible.

It was also found that successful cybermediaries must have highly developed and focused customer service and intelligent systems. These systems must contain a quick experience to bring customers back and keep them from going to competitors; enough information to make informed price decisions; the ability to answer questions, take requests, and schedule shipments; provide sophisticated solutions to customer problems twenty-four hours a day; develop relationships with individual customers, differentiating one customer from the next and treating each one as separate; supply successful communications and respond to customer's needs/questions in a timely manner; provide live agent help when necessary on a twenty-four hour a day basis; monitor how customers use their support information; involve many different levels/sublevels of inquiry for back-and-forth dialogue and two-way communication; and contain a self-service model that provides on-line answers and products, contain archives of commonly encountered problems, contain resolution guides, and provide electronic mail interaction all day and all night. (Abstract shortened by UMI.)

^30/5/18 (Item 1 from file: 583) [Links](#)

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09279876

Full Internet banking one step closer with First-e

UK: TECHNICAL REQUIREMENTS OF FIRST-E

Computer Weekly (CRW) 13 Apr 2000 p.52

Language: ENGLISH

First-e, the Internet bank launched in October 1999, has significantly increased its technical requirements with the decision to launch a current account and online share dealing service, in addition to its simple high interest accounts. It has signed a deal to purchase the Visibroker object request broker from Borland/Inprise, as a basis for real-time customer account tracking. The company uses an Oracle 8 database, although it has avoided using the server-based component framework Enterprise Javabeans (EJB) for performance critical applications.

Company: INPRISE; BORLAND; FIRST-E

Product: Banking Institutions (6010);

Event: General Management Services (26); Capital Expenditure (43); Use of Materials & Supplies (46); Contracts & Orders (61);

Country: United Kingdom (4UK);

30/5/21 (Item 2 from file: 139) [Links](#)

Fulltext available through: [STIC Full Text Retrieval Options](#)
EconLit

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509501

Title: Imperfect Competition in Auction Designs

Author: Burguet, Roberto; Sakovics, Jozsef

Author Affiliation: Instituto de Analisis Econ, Spain; Instituto de Analisis Econ, Spain

Journal Name: International Economic Review ,

Journal Volume & Issue: 40 1 ,

Pages: 231-47

Publication Date: 1999

Availability: <http://www.blackwell-synergy.com/loi/iere>

ISSN: 0020-6598

Document Type: Journal Article

Abstract Indicator: Abstract

Abstract: We study the competition between two owners of identical goods who wish to sell them to a pool of potential buyers. The sellers compete simultaneously setting reserve prices for their second price sealed bid auctions. Upon observing the set reserve prices, the buyers decide simultaneously in which auction to bid. We show that this game has (at least) one equilibrium and that all equilibria are inefficient: reserve prices are not driven to zero (cost). We also discuss where and why the parallel between optimal auction design and optimal pricing in the case of monopoly breaks down for oligopoly.

Descriptors: Auctions (D440); Market Structure and Pricing: Oligopoly and Other Forms of Market Imperfection (D430); Auctions; Bid; Competition; Equilibria; Equilibrium; Imperfect Competition

~~Non- Patent Literature Full - Text

[File 15] ABI/Inform(R) 1971-2008/Mar 22

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[File 16] Gale Group PROMT(R) 1990-2008/Mar 20

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**File 16: Because of updating irregularities, the banner and the update (UD=) may vary.*

[File 148] Gale Group Trade & Industry DB 1976-2008/Mar 07

(c)2008 The Gale Group. All rights reserved.

**File 148: The CURRENT feature is not working in File 148. See HELP NEWS148.*

[File 160] Gale Group PROMT(R) 1972-1989

(c) 1999 The Gale Group. All rights reserved.

[File 275] Gale Group Computer DB(TM) 1983-2008/Mar 19

(c) 2008 The Gale Group. All rights reserved.

[File 621] Gale Group New Prod.Annou.(R) 1985-2008/Mar 06

(c) 2008 The Gale Group. All rights reserved.

[File 9] Business & Industry(R) Jul/1994-2008/Mar 20

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[File 476] Financial Times Fulltext 1982-2008/Mar 23

(c) 2008 Financial Times Ltd. All rights reserved.

**File 476: This file will be removed from DIALOG on 1 April 2008. For news and business information, use Dialog Newsroom.*

[File 610] Business Wire 1999-2008/Mar 18

(c) 2008 Business Wire. All rights reserved.

**File 610: File 610 now contains data from 3/99 forward. Archive data (1986-2/99) is available in File 810.*

[File 613] PR Newswire 1999-2008/Mar 25

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**File 613: File 613 now contains data from 5/99 forward. Archive data (1987-4/99) is available in File 813.*

[File 624] McGraw-Hill Publications 1985-2008/Mar 24

(c) 2008 McGraw-Hill Co. Inc. All rights reserved.

**File 624: Homeland Security & Defense and 9 Platt energy journals added Please see HELP NEWS624 for more*

[File 636] Gale Group Newsletter DB(TM) 1987-2008/Mar 20

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[File 634] San Jose Mercury Jun 1985-2008/Mar 23

(c) 2008 San Jose Mercury News. All rights reserved.

[File 810] Business Wire 1986-1999/Feb 28

(c) 1999 Business Wire . All rights reserved.

[File 813] PR Newswire 1987-1999/Apr 30
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; d s
Set      Items  Description
S1      2607774  S (CLIENT? OR INDIVIDUAL OR INVESTOR? OR
SHOPPER? OR PURCHASER? OR BUYER? OR CUSTOMER? OR CONSUMER? OR
PERSON OR MEMBER? ? OR SUBSCRIBER? ?) (5N) (TRACK??? OR
MONITOR??? OR MONITORABLE OR OBSERV??? OR WATCH??? OR LOOK??? OR
VIEW??? OR SUPERVIS??? OR TRANSPARENT OR CHECK??? OR AUDIT??? OR
OVERSEE??? OR CONTROL????)
S2      7281888  S AGENT? ? OR BROKER? ? OR TRADER? ? OR
STOCKBROKER? ? OR SELLER? ? OR DEALER? ? OR ADVISOR? ?
S3      61773    S S1 (10N) S2
S4      41353    S DYNAMIC? OR CURRENT? OR IMMEDIAT? OR INSTANT?
OR INTERACTIV?? OR LIVE OR ON(1W)FLY OR REAL()TIME OR REALTIME
OR SIMULTANEOUS? OR UP(1W)DATE OR UP(2W)MINUTE OR UPDATE?
S5      2858     S (TRANSACTION? ? OR AUDIT OR LOG OR ORDER? ? OR
ACTION? ? OR EVENT)(2N)(LOG OR LOGS OR LOGGED OR TRAIL? ? OR
FILE? ? OR RECORD??? OR JOURNAL? ?) OR LOGFILE? ?
S6      3367     S (HALT??? OR END??? OR TERMINAT??? OR
DISCONTINU??? OR INTERRUPT??? OR SUSPEND??? OR STOP? ? OR
STOPPING OR ABORT??? OR CANCEL???) (3N) (EXECUT??? OR PERFORM???
OR ACTION? ? OR ACTIVAT??? OR IMPLEMENT??? OR INITIALI??? OR
TRADING OR TRADE? ? OR ORDER??? OR BID OR BIDDING OR SELLING OR
ACTIVITIES OR TRANSACTION? ? OR MOVE? ? OR COMPLET???)
S7      44230    S INTERNET OR INTRANET OR WAN OR LAN OR NETWORK?
? OR SERVER? ? OR ONLINE OR ON()LINE OR ELECTRONIC? OR WEB OR
WEBSITE? OR WEBPAGE? OR REMOTE?? OR DISTRIBUTED
S8      52145    S ASSET? ? OR STOCK? ? OR FUTURE? ? OR OPTION? ?
OR BOND? ? OR MUTUAL()FUND? ? OR SECURIT??? OR REAL()ESTATE OR
INVESTMENT? ? OR COMMODIT??? OR EQUIT??? OR
FINANCIAL()INSTRUMENT? OR CASH()EQUIVALENT? ? OR PORTFOLIO? ? OR
HEDGE? ? OR HEDGING OR RISK OR DEBT OR FINANCIAL
S9      0        S AU=(PILATO, A? OR PILATO A? OR PILATO (1N) (A
OR ALEJANDRO))
S10     3763     S S3 (5N) S4
S11     61       S S10 (S) S5
S12     0        S S11 (S) S6
S13     33       S S11 (S) S7
S14     3        S S13 (S) S8
S15     30       S S13 NOT S14
S16     10       RD (unique items)
S17     7402     S S3 (5N) S7
S18     47       S S17 (S) S6
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| | | |
|-----|----|-------------------------------|
| S19 | 8 | S S18 (S) S8 |
| S20 | 8 | S S19 NOT (S14 OR S15) |
| S21 | 3 | RD (unique items) |
| S22 | 61 | S S3 (5N) S6 |
| S23 | 24 | S S22 (S) S8 |
| S24 | 17 | RD (unique items) |
| S25 | 17 | S S24 NOT (S14 OR S15 OR S21) |
| S26 | 68 | S S4 (3N) S5 |
| S27 | 14 | S S26 (S) (S8 OR TRADE? ?) |
| S28 | 14 | RD (unique items) |

^ 14/3,K/2 (Item 1 from file: 624) [Links](#)

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00952253

PROPOSED FUTURECOM ASKS CFTC TO ADD TECH STOCK INDEX AS A PRODUCT

Securities Week, Vol. 25, No. 25, Pg s7

June 22, 1998

JOURNAL CODE: SW

SECTION HEADING: Special Supplement: INFORMATION TECHNOLOGY ISSN:
0149-3582

WORD COUNT: 386

TEXT:

... cost, increasing trade integrity and transaction speed, improving liquidity and transparency, and providing a complete audit trail.

"Traders and investors will be able to view their account information in real-time updated to the last tick of the Exchange," the statement said. It said the FutureTech index would be an ideal trading vehicle for mutual funds, trading firms, and individual investors who seek the many and varied opportunities of a focused stock index contract.

^16/3,K/5 (Item 5 from file: 16) [Links](#)

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07369476 Supplier Number: 59515500 (USE FORMAT 7 FOR FULLTEXT)

CYBER products.(Brief Article)(Product Announcement)

Insurance & Technology , v 24 , n 3 , p 21

March , 1999

Language: English Record Type: Fulltext

Article Type: Brief Article; Product Announcement

Document Type: Magazine/Journal ; Trade

Word Count: 82

...NY-based eShare Technologies' NetAgent software offers insurers multiple integrated interaction technologies for a complete on-line customer interaction solution. NetAgent Customer Interaction Center offers a complete solution for providing real-time sales, support and self-help assistance to on-line customers. On-line agents can observe

and log live visitor activity, engage visitors in real-time discussions through their browsers, review and manage customer...

16/3,K/6 (Item 6 from file: 16) [Links](#)

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06940481 Supplier Number: 58611913 (USE FORMAT 7 FOR FULLTEXT)

Mercator Launches New Line of Integration Brokers for E-Business Transformation;
Mercator Commerce, Enterprise and Web Brokers Unveiled for Delivery This Quarter.

Business Wire , p 1057

Jan 18 , 2000

Language: English Record Type: Fulltext

Document Type: Newswire ; Trade

Word Count: 1667

...trading partner management capabilities. Commercial customers can send orders in any format, including XML, via Web browsers or automated purchasing applications, over the Internet or private networks. Customers might also place orders to the distributor through an electronic marketplace. Upon receipt, Mercator Commerce Broker logs the order, transforms and routes it to trigger order processing, and tracks it to generate customer-specific e-mail updates throughout its processing cycle. Mercator Commerce Broker can also trigger supplier applications and systems for order fulfillment -- all with a common Mercator...

16/3,K/9 (Item 1 from file: 148) [Links](#)

Gale Group Trade & Industry DB

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0019797321 Supplier Number: 58946737 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Mercator launches new line of integration brokers for e-business transformation.

M2 Presswire , NA

Jan 24 , 2000

Language: English

Record Type: Fulltext

Word Count: 1904 Line Count: 00175

...Mercator Commerce Broker logs the order, transforms and routes it to trigger order processing, and tracks it to generate customer-specific e-mail updates throughout its processing cycle. Mercator Commerce Broker can also trigger supplier applications and systems for order fulfillment -- all with a common Mercator...

21/3,K/1 (Item 1 from file: 16) [Links](#)

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07331580 Supplier Number: 62092922 (USE FORMAT 7 FOR FULLTEXT)

eSpeed Signs Deals with 7 Online Brokers to Give Consumers the Ability to Trade Bonds the Same Way they Trade Stocks.

PR Newswire , p NA

May 15 , 2000

Language: English Record Type: Fulltext

Document Type: Newswire ; Trade

Word Count: 1492

...at the click of a mouse.

Online brokers will link their customers to the wholesale bond market through eSpeed Online(SM) Service. Whether they use eSpeed Online's proprietary software tool kit or an Application Program Interface (API), online brokers will be able to tailor the system to their corporate look and feel. Customers will therefore have the same Web experience they are accustomed to from their online broker. eSpeed Online, will also link to the brokers' middle and back office systems, providing a complete end-to-end mechanism for trade execution, risk management, processing and billing.

Since 1996, eSpeed's systems have enabled over 500 financial institutions...

25/3,K/3 (Item 3 from file: 15) [Links](#)

ABI/Inform(R)

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01775597 04-26588

Tech mania arrives at NYSE, courtesy of Perot Systems

Wipperfurth, Heike

Investment Dealers Digest pp: 5-6

Feb 15, 1999

ISSN: 0021-0080 Journal Code: IDD

Word Count: 767

Text:

...the Reuters-owned electronic limit order system, remained open, allowing professional and institutional traders to trade without interruption.

Greg Bokach, a senior equity trader at American Century Investment Management, said he watched buyers on Instinet trade the stock-which had been halted at a price level of around 34-bid the price all...

^25/3,K/12 (Item 2 from file: 9) [Links](#)

Business & Industry(R)

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01861233 Supplier Number: 24672994 (USE FORMAT 7 OR 9 FOR FULLTEXT)

MALAYSIA'S BERNAMA LAUNCHES INTERNET ONLINE SHARE TRADING

(Bernama (Malaysia) has launched SecureTrade, a system that allows brokers and investors to buy and sell shares and futures contracts over the Internet)

AsiaPulse News , p n/a

June 04, 1999

Document Type: Custom Wire (Southern & Eastern Asia)

Language: English Record Type: Fulltext

Word Count: 481 (USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:

...both software for the investor to key in orders to buy and sell shares or futures contracts and brokers' software for the broker to receive, confirm and execute orders.

Investors can cancel their orders, track their portfolios and access their accounts 24 hours a day, he added. The system also offers technical...

^25/3,K/15 (Item 1 from file: 636) [Links](#)

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04665717 Supplier Number: 59541455 (USE FORMAT 7 FOR FULLTEXT)

COMERICA ROLLS OUT PC TRADING; INTERNET IS NEXT.

Bank Investment Product News , v 3 , n 24 , p 3

June 23 , 1997

Language: English Record Type: Fulltext

Document Type: Newsletter ; Trade

Word Count: 318

PC Trader, which Comerica will announce to customers this week, provides the ability to make trades, cancel open orders and check the previous day's balance. Customers cannot access research through PC Trader, although Wall Street By Fax, a Comerica Securities vendor, is developing a PC trading module with a research function, Kreul says. Customers who...

28/3,K/4 (Item 4 from file: 15) [Links](#)

ABI/Inform(R)

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01821885 04-72876

The best online brokers '99

Rose, Sarah; Daragahi, Borzou; Frederick, Jim; Max, Kevin; et al

Money v28n6 pp: 156-164

Jun 1999

ISSN: 0149-4953 Journal Code: MON

Word Count: 3634

Text:

...It's the definition of clear, helpful and easy to navigate. Pages download cleanly, electronic trade confirmations keep you up to date and the status of each order and trade is clearly marked. While Schwab does not offer intraday account updates, most buy-and-hold...

...190 million to upgrade its capacity and technology, with the goal of handling 200,000 simultaneous log-ons.

As for investment products and tools, you name it, Schwab has it. The comprehensive...

28/3,K/5 (Item 5 from file: 15) [Links](#)

ABI/Inform(R)

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01737807 03-88797

Automation vendors trek further into cyberspace

Hancock, Wayland

American Agent & Broker v70n11 pp: 32-46+

Nov 1998

ISSN: 0002-7200 Journal Code: AGB

Word Count: 3953

Text:

...vendor plans to open a chat room/conference center by the end of this year. Future releases of The Agency Manager, the vendor's agency management system, will be available for...

28/3,K/7 (Item 2 from file: 16) [Links](#)

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07601961 Supplier Number: 63644552 (USE FORMAT 7 FOR FULLTEXT)

Trading & Technology: Traders Tools For The Digital Age.

Chapman, Peter

Traders , p ITEM00206013

July 1 , 2000

Language: English Record Type: Fulltext

Document Type: Magazine/Journal ; Trade

Word Count: 1685

...sales traders keep track of past client meetings and phone calls, as well as their trade and portfolio information, addresses, telephone numbers, kids' names, etc. ITSlink Myriad goes one step further by maintaining an up-to-the-minute call log and the ability to pull in data from other systems at the brokerage. Order-entry...

28/3,K/9 (Item 1 from file: 275) [Links](#)

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02267228 Supplier Number: 53728454 (Use Format 7 Or 9 For FULL TEXT)

new products.

HP Professional , 13 , 1 , 36(1)

Jan , 1999

ISSN: 0896-145X

Language: English Record Type: Fulltext

Word Count: 1359 Line Count: 00115

...observation capabilities and APIs that integrate with leading knowledge-based engines.

Agents can observe and log live visitor activity and engage in real-time discussions. The e-mail support module allows agents...

...to re-build any data. NetAgent TM 2.0 supports any browser and uses SSI, security encryption.

Contact eShare Technologies, Commack, NY at (888) 374-2734.

MESSAGING AND E-MAIL

Net...

28/3,K/10 (Item 2 from file: 275) [Links](#)

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01246003 Supplier Number: 06829743 (Use Format 7 Or 9 For FULL TEXT)

Vertical market applications software. (supplement to DG Review) (directory)

DG Review , v8 , n10 , pS25(11)

June , 1988

Document Type: directory

ISSN: 1050-9127

Language: ENGLISH Record Type: FULLTEXT; ABSTRACT

Word Count: 10696 Line Count: 01010

...Product Name: TRIM (Total Resource Information Management)

Description:

TRIM is a comprehensive and tightly integrated financial product, marketing, project and personnel information management system with the following features: human-engineered, optimum performance from a virtual architecture, sophisticated database, realtime processing and updating, 8-level security system, online help, extensive audit trails, fully interactive entry and editing, and meets or exceeds all FASB, GAAP and GAAS requirements. TRIM has...

^28/3,K/13 (Item 1 from file: 624) [Links](#)

McGraw-Hill Publications

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0132113

NYMEX' NEW AUDIT PROGRAM TO SEND OUT WARNINGS ON JUNE 6

Platts Oilgram News, Vol. 67, No. 107, Pg 4

June 5, 1989

JOURNAL CODE: PON

SECTION HEADING: United States ISSN: 0163-1284

WORD COUNT: 802

TEXT:

...exchange's independent watchdog.

The purpose of the system is to improve the exchange's audit trail, which currently shows that 86-87% of trades reported by brokers on the floor match the exchange's own time and sale price...

^ 28/3,K/14 (Item 1 from file: 636) [Links](#)

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01145685 Supplier Number: 40936522 (USE FORMAT 7 FOR FULLTEXT)

CME, CBOT TO JOINTLY DEVELOP ELECTRONIC AUDIT-TRAIL SYSTEM

Trading Systems Technology , v 3 , n 5 , p N/A

Sept 11 , 1989

Language: English Record Type: Fulltext

Document Type: Newsletter ; Trade

Word Count: 674

...within one minute, and after three years to within 30 seconds (TST, Aug. 14, 1989).

Current CME and CBOT audit-trail procedures rely on traders' deal cards, allocated by 30-minute time brackets, on which dealers...

...with computerized time records of price changes to create an approximate completion time for each trade.

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~~Non- Patent Literature Full -Text cont .

[File 625] American Banker Publications 1981-2008/Mar 21
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[File 268] Banking Info Source 1981-2008/Mar W3
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[File 626] Bond Buyer Full Text 1981-2008/Mar 24
(c) 2008 Bond Buyer. All rights reserved.

[File 267] Finance & Banking Newsletters 2008/Mar 21
(c) 2008 Dialog. All rights reserved.

[File 20] Dialog Global Reporter 1997-2008/Mar 25
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; d s
Set      Items      Description
S1      1302444      S (CLIENT? OR INDIVIDUAL OR INVESTOR? OR
SHOPPER? OR PURCHASER? OR BUYER? OR CUSTOMER? OR CONSUMER? OR
PERSON OR MEMBER? ? OR SUBSCRIBER? ?) (5N) (TRACK??? OR
MONITOR??? OR MONITORABLE OR OBSERV??? OR WATCH??? OR LOOK??? OR
VIEW??? OR SUPERVIS??? OR TRANSPARENT OR CHECK??? OR AUDIT??? OR
OVERSEE??? OR CONTROL????)
S2      6696061      S AGENT? ? OR BROKER? ? OR TRADER? ? OR
STOCKBROKER? ? OR SELLER? ? OR DEALER? ? OR ADVISOR? ? OR
CONSULTANT? ?
S3      31645        S S1 (10N) S2
S4      17975        S DYNAMIC? OR CURRENT? OR IMMEDIAT? OR INSTANT?
OR INTERACTIV?? OR LIVE OR ON(1W)FLY OR REAL()TIME OR REALTIME
OR SIMULTANEOUS? OR UP(1W)DATE OR UP(2W)MINUTE OR UPDATE?
S5      729          S (TRANSACTION? ? OR AUDIT OR LOG OR ORDER? ? OR
ACTION? ? OR EVENT) (2N) (LOG OR LOGS OR LOGGED OR TRAIL? ? OR
FILE? ? OR RECORD??? OR JOURNAL? ?) OR LOGFILE? ?
S6      1401         S (HALT??? OR END??? OR TERMINAT??? OR
DISCONTINU??? OR INTERRUPT??? OR SUSPEND??? OR STOP? ? OR
STOPPING OR ABORT??? OR CANCEL???) (3N) (EXECUT??? OR PERFORM???
OR ACTION? ? OR ACTIVAT??? OR IMPLEMENT??? OR INITIALI??? OR
TRADING OR TRADE? ? OR ORDER??? OR BID OR BIDDING OR SELLING OR
ACTIVITIES OR TRANSACTION? ? OR MOVE? ? OR COMPLET???)
S7      17591        S INTERNET OR INTRANET OR WAN OR LAN OR NETWORK?
? OR SERVER? ? OR ONLINE OR ON()LINE OR ELECTRONIC? OR WEB OR
WEBSITE? OR WEBPAGE? OR REMOTE?? OR DISTRIBUTED
S8      27726        S ASSET? ? OR STOCK? ? OR FUTURE? ? OR OPTION? ?
OR BOND? ? OR MUTUAL()FUND? ? OR SECURIT??? OR REAL()ESTATE OR
INVESTMENT? ? OR COMMODIT??? OR EQUIT??? OR
FINANCIAL()INSTRUMENT? OR CASH()EQUIVALENT? ? OR PORTFOLIO? ? OR
```


HEDGE? ? OR HEDGING OR RISK OR DEBT OR FINANCIAL OR DERIVATIVE?
 ? OR INVEST???

S9 0 S AU=(PILATO, A? OR PILATO A? OR PILATO (1N) (A
 OR ALEJANDRO))

S10 3298 S S3 (5N) (S4 OR S7)

S11 42 S S10 (S) S5

S12 2 S S11 (S) S6

S13 24 S S11 (S) S8

S14 20 RD (unique items)

S15 116 S (CLIENT? OR INDIVIDUAL OR INVESTOR? OR
 SHOPPER? OR PURCHASER? OR BUYER? OR CUSTOMER? OR CONSUMER? OR
 PERSON OR MEMBER? ? OR SUBSCRIBER? ?) (5N) S6

S16 50 S S15 (S) S8

S17 15 S S16 (S) (S4 OR S7)

S18 15 RD (unique items)

S19 85993 S S1 (S) S2

S20 4529 S S19 (S) S4

S21 85 S S20 (S) S5

S22 5 S S21 (S) S6

S23 3 S S22 NOT (S12 OR S14 OR S18)

S24 3 RD (unique items)

S25 162 S (S4 OR S7) (3N) (S5 OR S6)

S26 68 S S25 (S) S8

S27 63 S S26 NOT PY>2000

S28 23 S S27 NOT PY>2000

12/3,K/1 (Item 1 from file: 267) [Links](#)

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04555659

Short Takes

Mary Schroeder

Web Finance

September 6,1999 Document Type: NEWSLETTER

Publisher: SECURITIES DATA PUBLISHING

Language: ENGLISH Word Count: 1605 Record Type: FULLTEXT

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

Text:

...lead investor in a financing round that raised a total of \$10 million. When consumers log onto loancity.com, they get access to mortgage brokers in their area, each of whom...

...a broker, including self-service, assisted service, and delegated service, where the consumer asks the broker to handle the process.

The Web site also lets consumers check mortgage rates and track their mortgage applications online.

Equifax Rolls Out CheckFree E-Bill

Equifax has rolled out CheckFree's electronic billing and...up to 30 trades per quarter - \$14.95 for market orders and \$19.95 for stop /limit and Nasdaq orders. For each trade over 30 and up to 74 per quarter, customers will be charged...

14/3,K/4 (Item 3 from file: 267) [Links](#)

Finance & Banking Newsletters

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04573731

Fund Websites Adding Advisor Services

Danielle Fugazy

Mutual Fund Market News

December 4,2000 Document Type: NEWSLETTER

Publisher: SECURITIES DATA PUBLISHING

Language: ENGLISH Word Count: 790 Record Type: FULLTEXT

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

Text:

...Internet would allow them cost savings and were not concerned with having information for the financial professionals on their sites.

"However, today's best web initiatives are more about delivering

value...

...save themselves a buck or two eventually, Miyao said. "This is really more about offering investors or intermediaries another way to access their companies' information. The cost savings are not very...

It shouldn't be long before companies do see the savings. According to kasina, financial advisors report that 60 percent of their clients have access to the Internet. With more than half of all clients able to view fund statements immediately, advisors cannot afford to wait for information to arrive by traditional mail. A little less than 50 percent of financial advisors report lack of time and information flow as their main problems, according to kasina...

...immediately respond and service accounts," Miyao said. Although only 50 percent of fund companies offer advisors the ability to view clients' accounts online, that number will grow a lot in the next year and has been steadily increasing...

...to advisors' need for immediacy and easy-to-use tools. This year, 88 percent of mutual fund companies are using webcasts to update advisors on market trends and portfolio management. "Webcasts are not expensive and with a webcast an advisor can sit back and...

...to launching a separate site for advisors, not simply an amended version of the public mutual fund site. "It's a good idea to segment the market. The Internet has brought transparency...

...evaluate different funds because fund companies are disclosing more information, but it is harder for investors to go through all of the information and they need an advisor," Miyao said. In the future Miyao expects personalization will continue to be important because there is so much information and...

...then trying to make their sites part of the overall process. So advisors will automatically log on to their website in the morning. That includes fund companies trying to help advisors...

14/3,K/6 (Item 5 from file: 267) [Links](#)

Finance & Banking Newsletters

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04561102

Short Takes

Staff Reports

Web Finance

January 17,2000 Document Type: NEWSLETTER

Publisher: SECURITIES DATA PUBLISHING

Language: ENGLISH Word Count: 1607 Record Type: FULLTEXT

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

Text:

...communications network (ECN) has joined up with a new service, 3DstockCharts.com, to allow retail investors to see real-time three-dimensional stock charts over the Internet. 3DstockCharts.com gives brokers and investors continuous viewing of buy and sell orders on Island, the second largest ECN.

3DstockCharts.com's offerings...

...third dimension is time. The display updates every one-half second. ZonaFinanciera.com and Thomson Financial Interactive Reach Agreement

ZonaFinanciera.com, a leading provider of online financial services and information for the Latin American market, will distribute content from Thomson Financial Interactive in Spanish and Portuguese to noninstitutional customers. The information will also be distributed to Spanish language sites in the U.S.

Thomson will provide ZonaFinanciera with in-depth financial contents such as real-time and delayed market quotes on stocks, mutual funds, options and indices for U.S. and Canadian markets; financial news; market analysis and commentary; insider trading, institutional

...Corp.'s Retirement Plan Services division bundled 401(k) offering, will be able to receive financial planning advice from online investment advisors Financial Engines, based in Palo Alto, Calif., or mPower.com, Inc., headquartered in San Francisco. mPower participants log-in for their first online advice session. When the session is over, they can go...

^14/3,K/15 (Item 8 from file: 20) [Links](#)

Dialog Global Reporter

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31080841

CanDeal to Launch On-Line Provincial Bond Trading Market

CANADA NEWSWIRE

September 09, 2003

Journal Code: WCNW Language: English Record Type: FULLTEXT

Word Count: 539

...Through-Processing" (STP) solutions, CanDeal provides its participants with electronic trade reporting, on-line detailed audit trails, an integrated trade allocation facility and trade data export capability. CanDeal also provides a real time market data price feed

for the fixed income securities traded on its platform. CanDeal was formed in June, 2001 to create a neutral marketplace...

...efficient transaction solutions. CanDeal is the first system to be recognized across Canada by all securities regulators as an Alternative Trading System (ATS) and an investment dealer. In addition, CanDeal is a member of the Investment Dealers Association of Canada and the Canadian Investor Protection Fund.

VIEW ADDITIONAL COMPANY-SPECIFIC INFORMATION:
<http://www.newswire.ca/cgi-bin/inquiry.cgi...>

28/3,K/5 (Item 1 from file: 268) [Links](#)

Banking Info Source

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00314039 (USE FORMAT 7 OR 9 FOR FULLTEXT)

Comerica rolls out PC trading; Internet is next

Anonymous

Bank Investment Product News , v 3 , n 24 , p 3 , Jun 23, 1997 Document Type: Newsletter Article

Article Type: News Language: English Record Type: Abstract Fulltext

Word Count: 00314

Abstract:

Comerica Securities has rolled out PC trading software and plans to introduce Internet trading by the end of the summer of 1997. For the Internet trading portion, the bank is deciding between National Financial and US Quotes to partner with Comerica. The decision to develop Internet trading was driven by customer demand and Comerica's belief that technology will be the way of the future to deliver financial services.

28/3,K/10 (Item 3 from file: 267) [Links](#)

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04568968

Trading & Technology: Traders Tools For The Digital Age

Peter Chapman

Traders

July 1,2000 Document Type: NEWSLETTER

Publisher: SECURITIES DATA PUBLISHING

Language: ENGLISH Word Count: 1710 Record Type: FULLTEXT

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

Text:

The Securities Industry Association Technology Management Conference and Exhibit rolled out the red carpet for traders. Vendors...

...Debutantes

From Reuters comes Reuters Pro, a frontend strictly for the buy-side. Traders, analysts and portfolio managers can use it to customize the screen layout of their market information. Quotes, news...

...average directional change (ADX), the directional moving index (DMI), and the relative strength of a stock to the S&P 500.

Other features include alert messages and interactive charts. A trader can program the software to alert himself or his portfolio manager if a stock hits a certain price. Clicking a particular point on a chart reveals a database of...

...It allows you to get the whole picture of both the market and an individual stock," said Mike Naughton, senior vice president of equities sales at Reuters.

Ease-of-use is a big part of the pitch. A wizard...

...application for about two years. Reuters Plus is on the desktops of 50,000 retail stock brokers. Based on data from Waters MDI, Reuters hopes for a potential market of between...

...partnering with a small Chicago television broadcaster to form WebFN, a 24-hour Internet-based financial news channel. It will become available to any trader with a Bridge terminal. WebFN's is a 12-hour financial news channel called "The Stock Market Observer" which is produced by Chicago's Weigel Broadcasting. The show has aired in...

...based network that links sales traders with buy-side traders; buy-side traders with their portfolio managers; and sales traders with others in the brokerage.

WorldStreet Net was created chiefly to...

...wants from who he wants.

On the buy-side, American Century, Scudder Kemper and Morgan Stanley Asset Management (MSAM) have already signed on to the new service. On the sellside, UBS Warburg...

...are trying it out.

MSAM will use the service to improve communications between traders and portfolio managers within and across several divisions. J.P Morgan will use it to improve communication...a file of internally-generated research. The recipient will have a complete picture of the security in question. The technology that allows this is XML, or Extensible Markup Language. The so...

...keep track of past client meetings and phone calls, as well as their trade and portfolio information, addresses, telephone numbers, kids'

names, etc. ITSlink Myriad goes one step further by maintaining an up-to-the-minute call log and the ability to pull in data from other systems at the brokerage. Order-entry...

...OM executives expect it to be used chiefly by such small buy-side trading shops as hedge funds to send in their orders. Both the order sender and the receiver must be...

...Jefferies offer similar products.

Nasdaq may have the most electronic links, but the New York Stock Exchange is catching up. Buy-side traders ...the firm say the service will be attractive to small buy-side shops such as hedge funds where the trader/portfolio manager is often away from the office. The technology lets them put trades on the...

28/3,K/18 (Item 7 from file: 20) [Links](#)

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10135444 (USE FORMAT 7 OR 9 FOR FULLTEXT)

patsystems plc - Result of Placing, etc.

REGULATORY NEWS SERVICE

March 17, 2000

Journal Code: WRNS Language: English Record Type: FULLTEXT

Word Count: 4035

(USE FORMAT 7 OR 9 FOR FULLTEXT)

...net worth individuals) to the matching engines of derivatives exchanges. The PTS package includes a trading "front end", an electronic order routing system and a risk control and client management solution.

PTS currently allows remote trading on six of the world...

28/3,K/19 (Item 8 from file: 20) [Links](#)

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10016713 (USE FORMAT 7 OR 9 FOR FULLTEXT)

India: Impact on global securities market

BUSINESS LINE

March 12, 2000

Journal Code: FBLN Language: English Record Type: FULLTEXT

Word Count: 1581

(USE FORMAT 7 OR 9 FOR FULLTEXT)

...Audit trail: Online trading has imparted greater transparency by providing an audit trail for an investor right at his desk which used to stop with his broker's trading terminal earlier...

...in the bank account and ending with the credit in the depository account of the investor is a largely transparent process, subject to scrutiny.

Testifying to the strength and appeal of...

EBSCOhost Database - Internet and Personal Computing Abstracts 43
Search History
Query Limiters/Expanders Last Run Via Results
S2 client and monitor and real time and (stock* or bond* or financial
or
asset* or debt or risk) Interface - EBSCOhost
Search Screen - Advanced Search
Database - Internet and Personal Computing Abstracts 4
S1 client and monitor and real time Interface - EBSCOhost
Search Screen - Advanced Search

Record: 1

Title:LOCKING DOWN IM.

Authors:Greer, David geercom@alltel.net

Source:Computerworld; 8/29/2005, Vol. 39 Issue 35, p31-32, 2p

Document Type:Article

Subject Terms:ELECTRONIC mail systems -- Security measures

INSTANT messaging

DATA transmission systems

ELECTRONIC mail systems

INTERPERSONAL communication

COMPUTER industry

INFORMATION technology

NAICS/Industry Codes334111 Electronic Computer Manufacturing

443120 Computer and Software Stores

Abstract:This article provides tips on how to secure instant messaging (IM) in organizations. IM is a real-time text communications technology with which messages can be sent, received, and viewed immediately. But IM is risky and could cause as much damage as rogue electronic-mail. To secure IM, it is suggested to manage unauthorized IM clients, address risks that arise from change, identify and verify users to curtail unauthorized access, establish appropriate-use policies, educate employees about IM use and policies, and monitor risks related to security and privacy legislation. INSET: OUTSIDE

THE

WALL.

ISSN:0010-4841

Accession Number:18097232

Database: Internet and Personal Computing Abstracts

Full Text Database: Academic Search Premier

Record: 2

Title:Black-Box Trading Raises Risk.

Authors:Schmerken, Ivy

Source:Wall Street & Technology; Apr2005, Vol. 23 Issue 4, p17-20, 3p, 1 chart

Document Type:Article

Subject Terms:ELECTRONIC trading of securities

SECURITIES -- Data processing

SECURITIES trading

ONLINE stockbrokers

HEDGE funds

MARGINS (Security trading)

SECURITIES industry

NAICS/Industry Codes523110 Investment Banking and Securities Dealing

523120 Securities Brokerage

525910 Open-End Investment Funds

Abstract:The article claims that electronic trading poses a challenge to prime

brokers because hedge funds are trading anonymously through direct-market-access platforms. As black-box trading and direct-market-access

trading increases, clients may be placing orders faster than their clearing firms and prime brokers can monitor the risk. This causes more risk to the prime brokers because they are not calculating margin deposits in real-time.

Moreover, these margin engines are not updated until all the hedge fund's positions are flipped to the prime broker at the end of the trading day.

This

situation becomes more complex as hedge funds expand their trading across multiple asset classes such as fixed-income, foreign exchange, options and futures. The Tabb Group has urged for an information architecture for fast markets that can update applications in real-time from multiple sources using push technology. By tapping multiple sources of data, the technology would create a single golden copy of data to feed the risk, margin and accounting applications.
ISSN:1060-989X
Accession Number:16616617
Database: Internet and Personal Computing Abstracts

Record: 3

Title:Risk in a Real-Time World.
Authors:Tabb, Larryl ltabb@tabbgroup.com
Source:Wall Street & Technology; Feb2005, Vol. 23 Issue 2, p54-54, 1p, 1bw
Document Type:Article
Subject Terms:RISK
FINANCIAL services industry
FINANCIAL institutions
RISK management
CREDIT risk
ELECTRONIC trading of securities
Geographic Terms:UNITED States
NAICS/Industry Codes522291 Consumer Lending
Abstract:This article explains that the nature of the risk that United States financial services companies accept changes as they extend their infrastructures to enable customers to trade for themselves, providing technology known as direct-market-access (DMA), aggregation, or execution-management systems to clients. Financial institutions' risk management platforms are a patchwork of technologies and processes. Market-risk and credit-risk platforms are traditionally batch-based and supplemented by trading-desk alerts and management oversight. With the advent of DMA and the proliferation of hedge funds that have the ability to use leverage, go short, and develop black-box models, the way firms monitor risk needs to change.
Author Affiliations:1CEO, The Tabb Group, Westborough, Mass.
ISSN:1060-989X
Accession Number:16143137
Database: Internet and Personal Computing Abstracts

Record: 4

Title:Trader tracks network ROI -- Performance monitoring vital to Hold Brothers' core securities business.
Authors:Lewis, David
Lewis, David
Source:InternetWeek; 7/30/2001 Issue 871, p42 , 2p, 1c
Document Type:Article
Subject Terms:DAY trading (Securities) -- Software
STOCKS -- Software
MAINTENANCE
LOCAL area networks (Computer networks)
PROBLEM solving
BANDWIDTHS
Geographic Terms:UNITED States
Author-Supplied Keywords:Hold Brothers
NetScout Systems

Company/Entity:HOLD Brothers On-Line Investment Services Inc.

NAICS/Industry Codes52321 Securities and Commodity Exchanges

Abstract:Talks about day-trading company Hold Brothers' deployment of nGenius Real-Time Monitor and nGenius Capacity Planner, network management utilities from NetScout System Inc. Mentions that the applications address Hold Brothers' need for a comprehensive way to monitor the performance of its wide area network (WAN) and local area networks (LANs) as well as their interactions with electronic stock markets. Explains that as a result of the nGenius applications, Hold Brothers discovered and fixed inefficiencies in its LAN-based software, and relocated some remote servers to avoid using WAN links. Says that during the NetScout demo, nGenius caught some users in the act of using the WAN link inappropriately by performing legitimate but bandwidth-hogging actions such as upgrading client software over the WAN.

Includes a photo.

Full Text Word Count:937

ISSN:1096-9969

Accession Number:4950255

Database: Internet and Personal Computing Abstracts